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ABSTRACT

The paper discusses the activities and processes by which the local education agencies (LEAs) are implementing the provisions of Public Law 94-142 (Education for All Handicapped Children Act) and describes and analyzes the consequences which occur at the individual LEA/community level. The preliminary findings of a series of nine case studies of LEAs in rural, suburban, and urban settings in three states are presented. After reporting the general findings, the paper explores the activities and consequences of the major provisions of the law (childfind efforts, individualized educational plans, evaluation, placement, due process and parent involvement, and least restrictive environment). Processes and consequences common to all states and those unique to one setting are related. The process dynamics of implementation at the LEA level are explored. Appendixes include State Education Agency and LEA descriptive information, summary descriptions of the case studies, activities and study methodology, and summary tables of the consequences. (PHB)

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PRELIMINARY FINDINGS
SUMMARY

CASE STUDY OF THE IMPLEMENTATION OF P.L. 94-142

30 June 1978

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SUMMARY OF PRELIMINARY FINDINGS

PURPOSE OF STUDY

P.L. 94-142 is a major piece of educational legislation which mandates that State Education Agencies (SEAs) ensure that Local Education Agencies (LEAs) provide a free, appropriate public education (FAPE) for all handicapped children. Each handicapped child must be assessed with non-discriminatory tests and procedures; must have an individualized education program (IEP) developed in consultation with parents and others; and must be placed in the least restrictive environment. In addition to these and other provisions, the law is unique: unlike other recent federal aid to education programs, the first set of regulations were very specific and became effective shortly after passage; yet, the rate of federal expenditures increase gradually over the next few years. With immediate implementation demands and relatively low levels of federal funding, one could anticipate a number of changes and consequences at the state and local level. Increased demands will be placed upon organizational structures; personnel and role behavior changes will likely be required to accommodate new processing requirments; and, at least initially, inadequate resources will force consideration of various trade-offs and result in a variety of coping strategies.

The purpose of this Case Study is to describe the activities and processes by which local education agencies are implementing the provisions of the Law and to describe and analyze the consequences which occur at the individual LEA/community level. A series of nine case studies are being conducted in three states which vary considerably in their relative "stage of development" and capacity to implement all the provisions of the Law.* In a rural, urban, and suburban LEA in each state, TURNKEY staff and field workers have conducted over 800 interviews with central office staff and building staff and have observed over 100 meetings ranging from small "assessment and placement conferences" to large community meetings.** Information gathering will continue in September 1978.

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* See Appendix 1 for SEA and LEA descriptive information.

** See Appendix 2 for description of activities and study methodology.

SUMMARY OF FINDINGS

Below we present the preliminary findings of the study through the first round of information gathering and preliminary analysis. Aside from inherent time limitations, the reader is also cautioned that patterns of implementation and the nature and extent of consequences may change prior to, and subsequent to, the full implementation date of September 1, 1978 in a number of sites. The preliminary findings, reported below, focus upon three sets of interrelated questions.

- What activities or implementation processes were undertaken; what patterns emerged and why?
- What consequences arose and to what could these consequences be attributed...to the law specifically, or other factors?
- What types of process dynamics were observed as decisions to implement provisions were made, as trade-off considerations occurred, and as related consequences and coping strategies arose?

In the remaining sections of the report, we first discuss the general findings and observations prevalent across all SEAs and LEAs. We discuss the processes used to implement the major provisions and the related major consequences. Then, we identify the patterns common to states and urban, suburban, and rural settings. In the last section, we illustrate some of the dynamic processes linking decisions to consequences in order to illustrate the complexities involved.

1. General Findings

First, compared with recent education legislation, never have so many SEAs and LEAs initiated so many activities with relatively few federal resources to implement the provisions of a federal mandate. In all sites, some initiatives have been undertaken to implement the provisions as quickly as possible in spite of increased time burdens and scarce resources. The level of activity was generally higher during the first half of the 1977-78 school year than during the second half; officials in all sites anticipate increased activities to meet the full implementation requirements in the Fall, 1978. Implementation is being pursued

aggressively, particularly in those states and LEAs where state-legislated mechanisms had not been in place prior to the passage of P.L. 94-142.

Second, while greater demands have indeed been placed upon officials in both state and local education agencies, these "lower level" officials are using "higher level" pronouncements such as the law, regulations, and policy statements as leverage to bargain for scarce state and local resources. In turn, this competition for scarce resources has created tensions between the "general education" and the "special education" communities, particularly during the first half of the school year. To some extent, these tensions have decreased over the year for a variety of reasons as "regular" educators' perceptions of "massive funding" under P.L. 94-142 changed and as SEA regulations clarified sensitive and devisive issues (e.g., who serves mildly handicapped).

Third, in all sites some initiatives have been taken to ensure greater coordination with other local and state agencies. Greater strides in coordination have been made in childfind and referral activities than have been observed in direct service delivery (e.g., instruction). Most coordination problems relate to inherent "turf battles" and bureaucratic behavior associated with any federal mandate to coordinate services, a long term endeavor.

Fourth, the procedures used by LEAs to implement the various provisions were influenced greatly by SEA priorities, State legislation, and SEA regulations. The nature and extent of consequences on the other hand appear to be more closely associated with the existence of "mechanisms" to implement the provisions at the respective sites prior to the first year of the implementation. For example, childfind and particularly IEP assurances were two high priorities; existing or new mechanisms specified by the SEA were generally used at the LEA level for implementing these assurances (e.g., IEP formats, specifically-funded childfind units, etc.). Indeed these increased childfind efforts resulted in the identification of large numbers of "priority-one" children. Yet, as one might anticipate, these increased childfind activities resulted in backlogs of children to be assessed or placed due largely to organizational, bureaucratic barriers in urban areas and to an inadequate range of services in rural areas. Similar to childfind, the implementation of the IEP provision consumed relatively large amounts of building level staff time, especially during the first half of the

last school year, and changed staff roles considerably. Where IEP-type mechanisms were not in place, especially in rural sites, most staff supported the educational merit of IEPs although they felt they were not adequately trained to develop quality IEPs. In suburban districts, where IEP-type mechanisms were already in place, teaching staff were hesitant to change existing procedures to the new SEA formats developed in response to P.L. 94-142.

The findings and observations noted above are not surprising and were generally hypothesized in the study design for this project.

2. Activities and Consequences by Major Provision

Next we discuss the processes and consequences associated with major provisions. Summary tables and charts are in Appendix 3.

Childfind

Increased childfind efforts, as noted earlier, resulted in identification of relatively large numbers of "priority one" children in most sites. To accommodate processing needs, a number of changes in organization, staff roles, and behaviors have occurred. Where childfind mechanisms had not previously existed, they were created in approximately two thirds of the sites. SEA policies and priorities influenced how LEAs conducted childfind activities in all sites: in one site, the SEA continued to operate childfind regional centers; in another, an out-of-school childfind activity was established; in another, SEA priorities and funding formula provided the necessary incentives for increased childfind activities.

Most consequences associated with childfind activities that have a large financial or student impact could be characterized as organizational changes or role behavior changes; either the existing LEA personnel had their roles redefined to cope with the new demands or new personnel were hired to meet those demands. The childfind consequences were relatively similar across the three states. However, there were variations across types of districts; rural districts had fewer resources, which limited the range of available service.

IEPs

The LEA implementation of IEP provisions followed SEA formats and guidelines, or SEA policy documents. While the IEP development process had been initiated in all buildings in all sites visited, the activities varied considerably. There

appeared to be greater uniformity among LEAs within a state than among SEAs. In one state, an IEP type process had been in place since the early 70's. Here, the SEA is developing standard forms for IEPs. Long-term goals are written by placement committees and short-term goals by teachers. In another state, IEPs are written by teachers and are similar to an IEP-type format previously used throughout the state. A standard form has been developed in the remaining state which teachers follow in writing the IEP. In all states parents approve the IEP, a relatively dramatic procedural departure in most sites.

During the first half of the 1977-78 school year IEP activities consumed an enormous amount of building level staff time, mostly in addition to other responsibilities and sometimes at the expense of instruction, particularly in September - October 1977. Almost half of all consequences related to IEPs occurred in the state where mechanisms for the most part had not previously been in place. Most consequences in rural sites were related to resources (e.g., a lack of adequately trained staff) while in urban and suburban sites, consequences were related to organizational structure and administration (e.g., existing procedures for individualizing instruction were incongruent with IEP provisions). While the nature and extent of consequences related to IEP is anticipated to be less during the coming school year, most sites have developed plans to improve the process and to train/orient regular teachers and principals in the IEP process.

Evaluation

Assessment processes vary among the three states and among at least six of the nine LEAs. In one state, most assessments in the LEAs are conducted by universities' four-member teams under contract to the SEA, which allocates a quota to each team, regardless of the actual number of new childfinds. In the other states, LEA staff are responsible. While the relative number of consequences were similar across urban, suburban, and rural districts, the most severe could be attributed to organizational structures, particularly the separation of testing responsibilities and special education programming. In the urban and rural districts, assessment waitlists could be attributed to resource constraints which in turn required changes in staff role behaviors (e.g., psychologists spending more time testing than counseling, building staff spending more

time contacting parents, etc.).

Placement

Placement refers to the activities associated with placing the handicapped child in special education. While it varies considerably across sites, parents are contacted prior to the delivery of service in all sites but not necessarily prior to assessment. Moreover, approximately two-thirds of all major consequences related to placement occurred in suburban districts and are related to the organizational structure and administration within the LEAs. Those consequences in rural settings were mostly related to resource constraints. This is understandable in that most suburban districts were attempting to either incorporate new placement provisions into existing mechanisms or attempted to involve parents to a greater extent in the assessment/placement process.

Least Restrictive Environment

Perhaps due to local district attention to more specifically defined elements of P.L. 94-142, there were very few consequences related to least restrictive environment (LRE). In one state, teachers in all three LEAs were concerned with the problems of mainstreaming handicapped children, particularly scheduling problems and the reduction in instructional flexibility. Regular teachers in all three suburban districts felt they needed additional training to deal with handicapped children. While LRE was not a high priority in any of the three states last year, there are some indications that priorities will change this Fall.

Due Process and Parent Involvement

Parents' rights are a major concern in all three states. In one state, procedures have been in place for years to notify parents at different points in the special education process; in another state, such procedures are just being developed.

In all sites, the smallest number of consequences were associated with due process and parental involvement. In most districts, there has been an increase in parent-school contacts as a result of P.L. 94-142, although parental involvement in the special education process varies from building to building within some distircts. This variation is the result of both parent attitudes and accessibility of staff. In the suburban districts, parent involvement has become more structured than it was prior to P.L. 94-142; informal contacts between parents and staff have been limited since the law went into effect.

3. LEA Processes and Consequences Related to State or Setting

In addition to the above, we have identified a number of findings related to the implementation which appear to be associated with either the state or the setting of the LEAs. While the causal relationship of the association is not apparent in all cases, these findings are consistent with the general hypotheses developed for the study and the rationale for selecting three states for our sample, which varied in accordance with their relative stage of development prior to the implementation of P.L. 94-142.

Processes/Consequences Related to States

State A

In State A, legislation similar to P.L. 94-142 was enacted in the late 1960's. Mechanisms for implementing critical provisions such as assessment, placement, and childfind had been in place prior to September 1977. Common processes and consequences related directly or indirectly to P.L. 94-142 are highlighted below:

- More resources became available for special education in part due to increased bargaining power of the special education community and LEA officials' fear of legal reprisals in meeting the FAPE requirements.
- Teachers are spending more time in placement meetings, sometimes at the expense of instruction, and are doing extra paperwork involved with processing handicapped children through the system.
- Special education referrals by staff have decreased somewhat due to increased processing burdens and relatively large numbers of children awaiting assessment.
- Some tensions have arisen between special education and regular education staff due largely to organizational confusion over responsibilities for certain handicapped children, e.g., mildly handicapped.
- Increasingly a controlling factor, principals are becoming more involved in the implementation of P.L. 94-142.

State B

By contrast to State A, this state had few, if any, mechanisms in place at the state and local levels prior to the passage of P.L. 94-142; it's state-enacted, "mirror image" legislation is scheduled for implementation in September 1978.

- Increased childfind activities have located significantly large numbers of severely and profoundly handicapped, for which adequate resources to provide services are not available within the LEAs.
- The IEP process is increasingly used as a monitoring device by SEA and LEA administrators; at the same time, more staff time has been devoted to contacting parents than in the past, a factor which contributed to some reduction in instructional time and to initial teacher resentment.
- Most activities and consequences were related to specific provisions such as IEP; few, to FAPE deadlines and requirements.

State C

This state could be classified as a "middle state" with respect to stage of development where IEP type mechanisms had been in place prior to P.L. 94-142, although new mechanisms were being developed for other provisions such as due process and childfind.

- The IEP process has placed heavy time demands upon teaching staff, particularly as they attempt to modify existing mechanisms to accommodate the new requirements of P.L. 94-142.
- While parental involvement in the special education process has increased across sites, it has taken different forms ranging from those which are relatively informal to structured placement meetings.
- Regular classroom teachers felt uncomfortable with mainstreamed handicapped children, felt they were inadequately trained to deal with them, and felt that scheduling and disciplinary problems reduced instructional flexibility.

Processes/Consequences Related to Setting

Urban Sites

- While the implementation process has occurred in all urban sites, progress in a number of areas has been hampered by bureaucratic and organizational structures
- A significant increase in paperwork and in clerical/administrative tasks has occurred as a result of state requirements related to the implementation of P.L. 94-142.

- Across sites there is more parent/school contact as a result of P.L. 94-142; more LEA staff time is being devoted to involving parents in assessment, placement, and IEP development activities.

Suburban Sites

- Regular teachers are now performing relatively more educational assessments of handicapped children then previously.
- Although some form of individualized instruction was in place in the suburban districts prior to September 1978, many teachers have expressed concern about the form and format of the IEPs and the time and effort necessary to revise what they had been doing in the past into a new format.
- Parental involvement in all three sites has become formalized since P.L. 94-142 was implemented.
- Regular teachers generally feel the need for additional training to deal with handicapped children in a mainstreamed setting.

Rural Sites

- Relative to the other sites, rural districts appear to be reallocating more resources from the general education budget to special education services for the handicapped.
- A significant increase in staff time has been devoted to testing children, reporting results or attending meetings; psychologists now spend more time in these functions than in counseling or new staff have been hired to assist in testing.
- Due to its time consuming nature, some teachers resent the IEP developmental process and view it as a monitoring or accountability device rather than an instructional tool. Such perceptions, however, are often influenced by SEA policies and actions.

4. Process Dynamics of Implementation at the LEA Level

Above, we attempted to identify some patterns of processes and consequences related to the implementation of P.L. 94-142. However, if one were to observe and document the process in each LEA in the U.S. in detail, one would probably conclude that the implementation of the law is unique in each LEA. Indeed, there exists a number of contextual and implementation variables interacting with each other, which in turn affect the activities used to implement the provision of the Law. Even though we have used an implementation model to develop and test some general hypotheses, these summary findings do not illustrate the complexities, which are at work in the communities involved in this study. To categorize consequences into similar groupings and identify related coping strategies does not provide the reader with the details of the interaction process as it occurred. Administrative decisions made within the LEA could lead to several consequences which in turn could result to a number of coping strategies. Coping strategies, for example, do not necessarily follow a logical response for a particular consequence at some sites. Often they depend upon already established working relationships, job confidence, administrative power, informal procedures, and other factors.

To illustrate these complexities and interrelationships between decisions, trade-offs, implementation processes, consequences and coping strategies, we have reconstructed a number of illustrations of these dynamic processes based upon observations and information gathered during the initial phase of this study. In Exhibit 1, we illustrate the processes of implementing the childfind assurance in one site. Then we illustrate in Exhibit 2 the processes related to one decision affecting childfind administration. In Exhibits 3 and 4 we illustrate the processes of IEP and LRE administrative decisions at two sites.

EXHIBIT 1 : AN ILLUSTRATION OF PROCESS DYNAMICS BY ACTIVITIES AND EVENTS AT ONE STUDY SITE

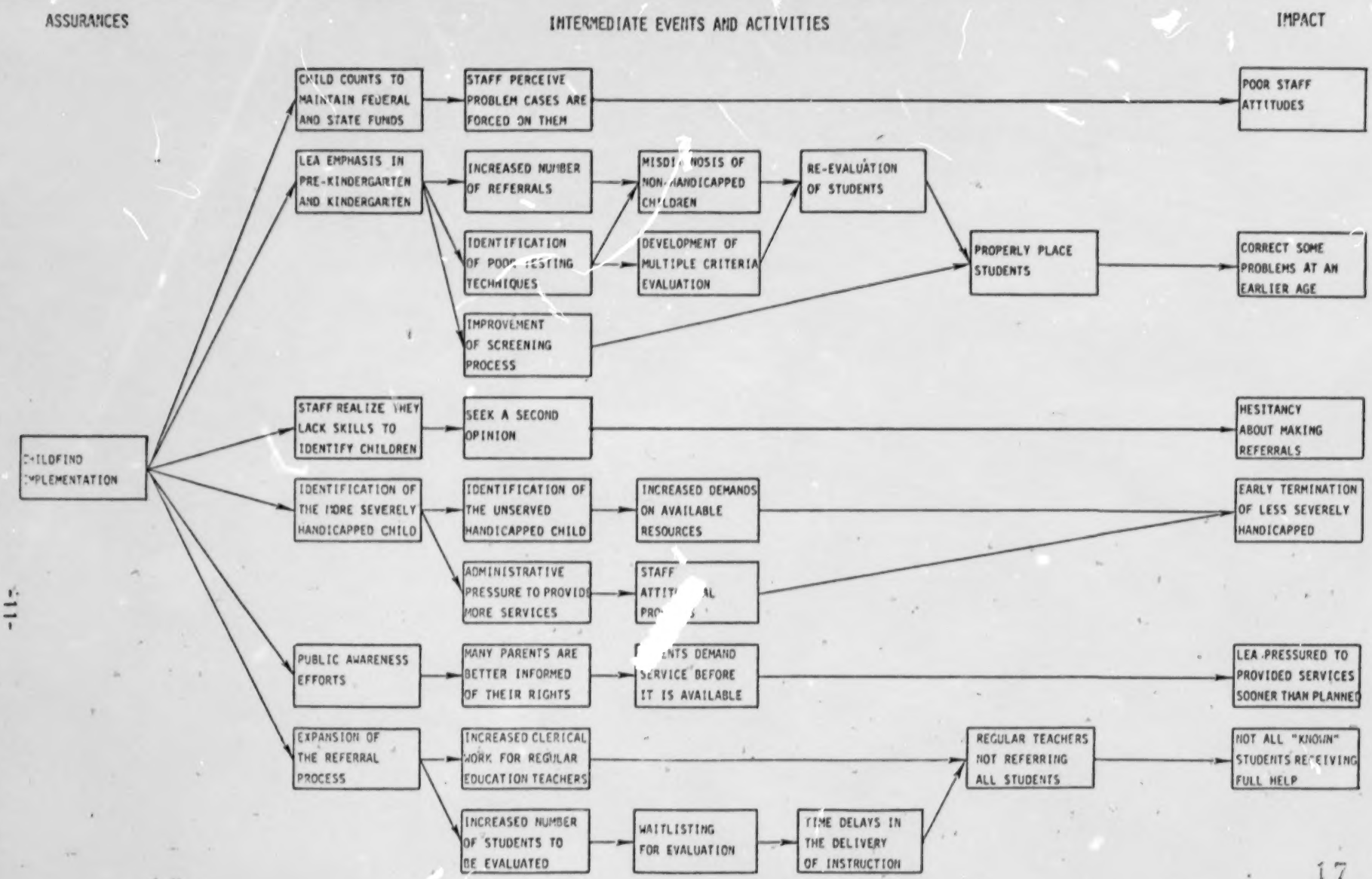
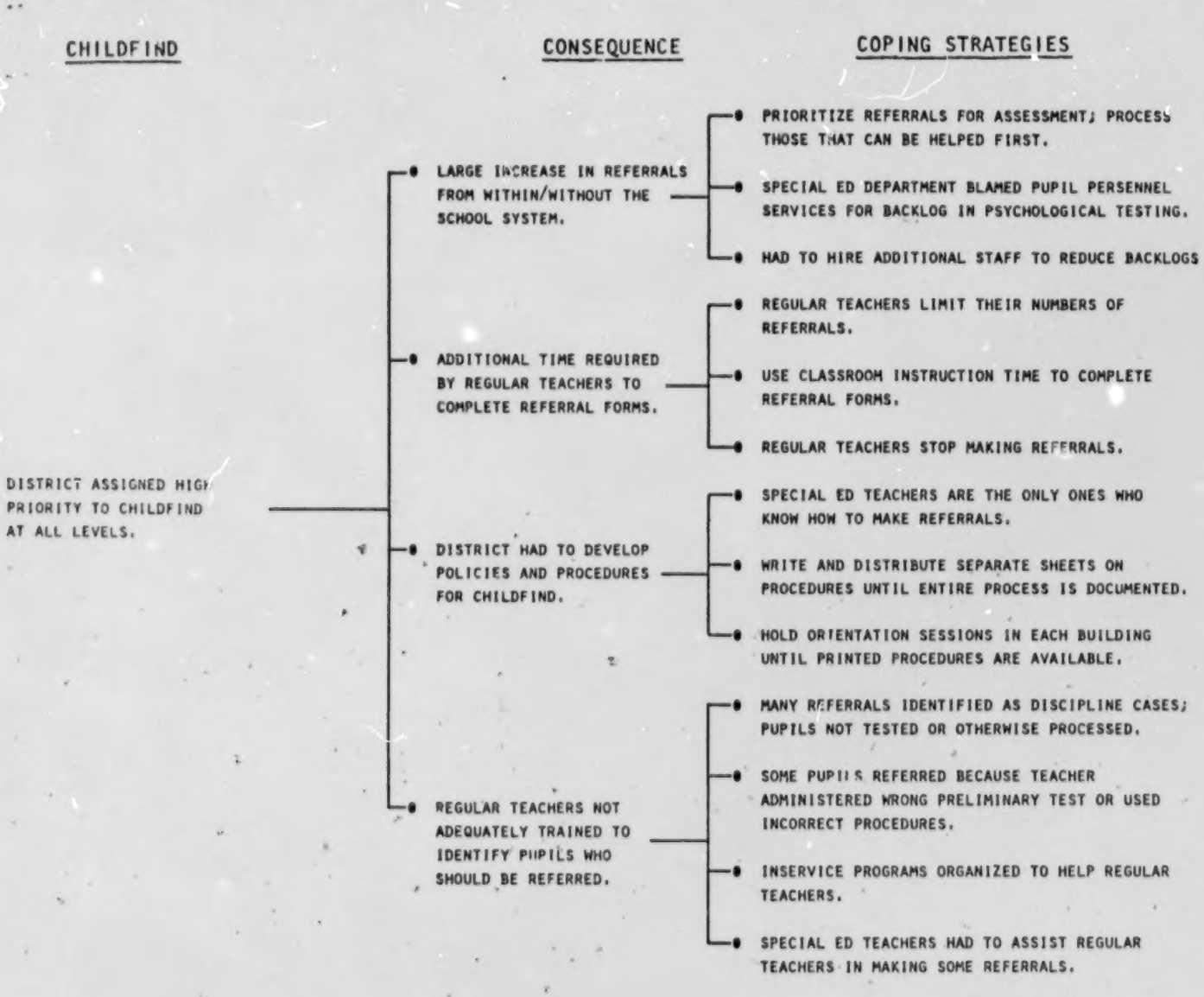
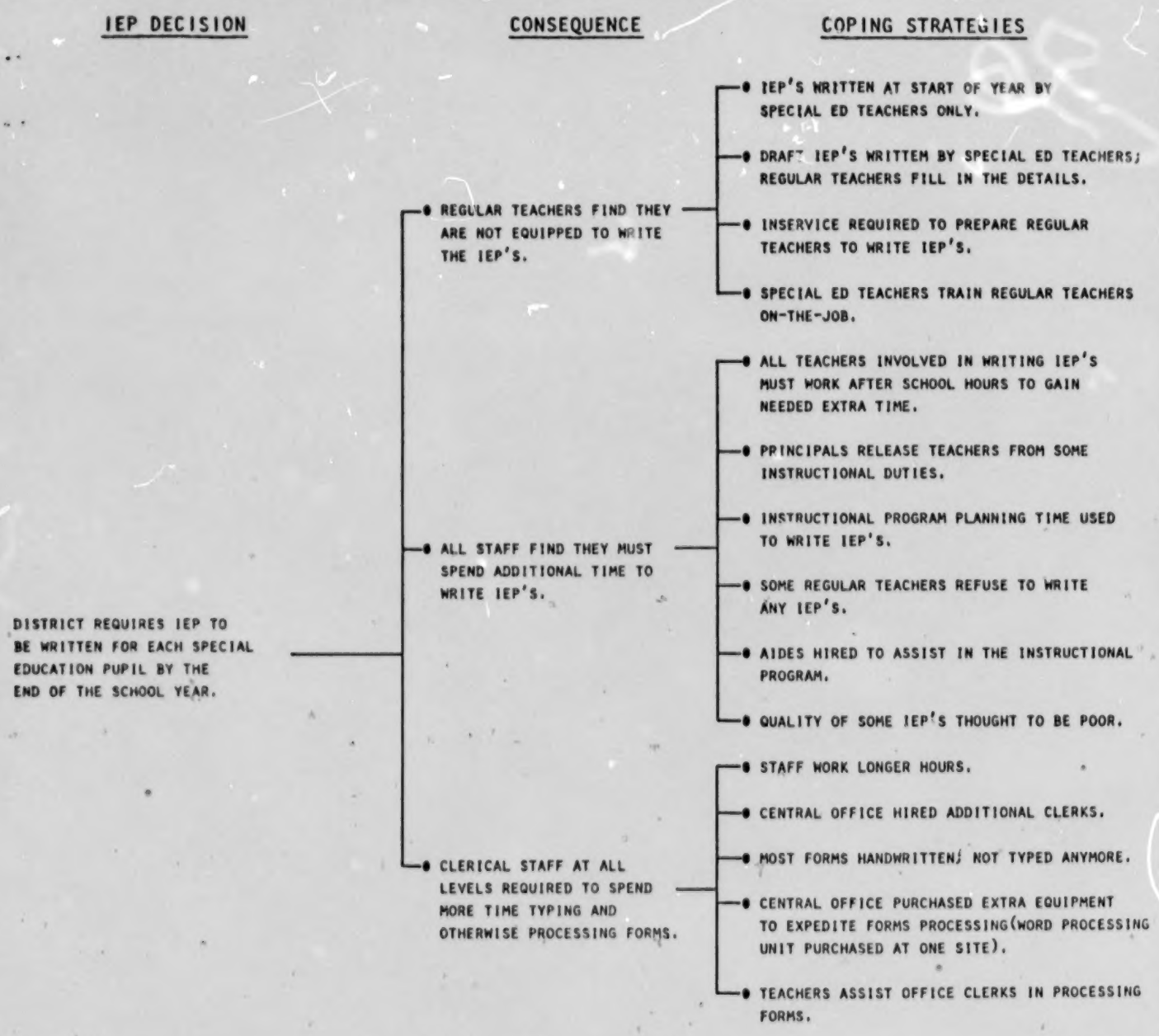

ASSURANCES
INTERMEDIATE EVENTS AND ACTIVITIES
IMPACT
CHILDFIND IMPLEMENTATION
CHILD COUNTS TO MAINTAIN FEDERAL AND STATE FUNDS
STAFF PERCEIVE PROBLEM CASES ARE FORCED ON THEM
POOR STAFF ATTITUDES
LEA EMPHASIS IN PRE-KINDERGARTEN AND KINDERGARTEN
INCREASED NUMBER OF REFERRALS
MISDIAGNOSIS OF NON-HANDICAPPED CHILDREN
RE-EVALUATION OF STUDENTS
IDENTIFICATION OF POOR TESTING TECHNIQUES
DEVELOPMENT OF MULTIPLE CRITERIA EVALUATION
PROPERLY PLACE STUDENTS
CORRECT SOME PROBLEMS AT AN EARLIER AGE
IMPROVEMENT OF SCREENING PROCESS
STAFF REALIZE THEY LACK SKILLS TO IDENTIFY CHILDREN
SEEK A SECOND OPINION
HESITANCY ABOUT MAKING REFERRALS
IDENTIFICATION OF THE MORE SEVERELY HANDICAPPED CHILD
IDENTIFICATION OF THE UNSERVED HANDICAPPED CHILD
INCREASED DEMANDS ON AVAILABLE RESOURCES
EARLY TERMINATION OF LESS SEVERELY HANDICAPPED
ADMINISTRATIVE PRESSURE TO PROVIDE MORE SERVICES
STAFF ATTITUDINAL PROCESS
PUBLIC AWARENESS EFFORTS
MANY PARENTS ARE BETTER INFORMED OF THEIR RIGHTS
PARENTS DEMAND SERVICE BEFORE IT IS AVAILABLE
LEA PRESSURED TO PROVIDED SERVICES SOONER THAN PLANNED
EXPANSION OF THE REFERRAL PROCESS
INCREASED CLERICAL WORK FOR REGULAR EDUCATION TEACHERS
REGULAR TEACHERS NOT REFERRING ALL STUDENTS
NOT ALL "KNOWN" STUDENTS RECEIVING FULL HELP
INCREASED NUMBER OF STUDENTS TO BE EVALUATED
WAITLISTING FOR EVALUATION
TIME DELAYS IN THE DELIVERY OF INSTRUCTION

EXHIBIT 2: AN ILLUSTRATION OF PROCESS DYNAMICS RELATED TO A CHILDFIND ADMINISTRATIVE DECISION AT ONE STUDY SITE


CHILDFIND
CONSEQUENCE
COPING STRATEGIES
DISTRICT ASSIGNED HIGH PRIORITY TO CHILDFIND AT ALL LEVELS.
LARGE INCREASE IN REFERRALS FROM WITHIN/WITHOUT THE SCHOOL SYSTEM.
PRIORITIZE REFERRALS FOR ASSESSMENT; PROCESS THOSE THAT CAN BE HELPED FIRST.
SPECIAL ED DEPARTMENT BLAMED PUPIL PERSONNEL SERVICES FOR BACKLOG IN PSYCHOLOGICAL TESTING.
HAD TO HIRE ADDITIONAL STAFF TO REDUCE BACKLOGS
ADDITIONAL TIME REQUIRED BY REGULAR TEACHERS TO COMPLETE REFERRAL FORMS.
REGULAR TEACHERS LIMIT THEIR NUMBERS OF REFERRALS.
USE CLASSROOM INSTRUCTION TIME TO COMPLETE REFERRAL FORMS.
REGULAR TEACHERS STOP MAKING REFERRALS.
DISTRICT HAD TO DEVELOP POLICIES AND PROCEDURES FOR CHILDFIND.
SPECIAL ED TEACHERS ARE THE ONLY ONES WHO KNOW HOW TO MAKE REFERRALS.
WRITE AND DISTRIBUTE SEPARATE SHEETS ON PROCEDURES UNTIL ENTIRE PROCESS IS DOCUMENTED.
HOLD ORIENTATION SESSIONS IN EACH BUILDING UNTIL PRINTED PROCEDURES ARE AVAILABLE.
REGULAR TEACHERS NOT ADEQUATELY TRAINED TO IDENTIFY PUPILS WHO SHOULD BE REFERRED.
MANY REFERRALS IDENTIFIED AS DISCIPLINE CASES; PUPILS NOT TESTED OR OTHERWISE PROCESSED.
SOME PUPILS REFERRED BECAUSE TEACHER ADMINISTERED WRONG PRELIMINARY TEST OR USED INCORRECT PROCEDURES.
INSERVICE PROGRAMS ORGANIZED TO HELP REGULAR TEACHERS.
SPECIAL ED TEACHERS HAD TO ASSIST REGULAR TEACHERS IN MAKING SOME REFERRALS.

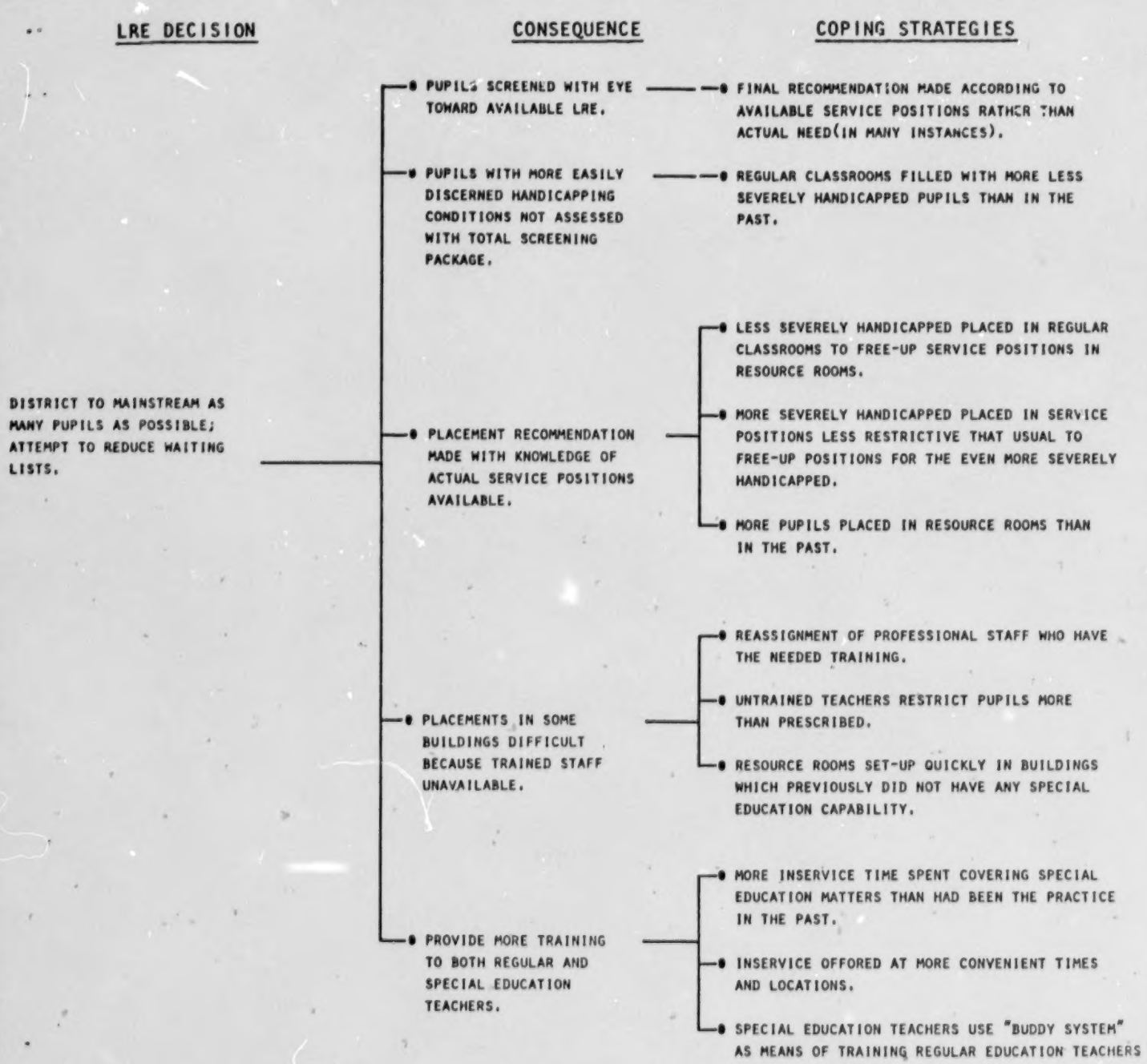
DISCUSSION: IN THIS EXAMPLE, CHILDFIND AS AN IDENTIFIABLE ACTIVITY IS AN OUT-OF-SCHOOL EFFORT WHICH SUPPLEMENTS AN ALREADY EXISTING WITHIN-SCHOOL REFERRAL PROCESS. AS SUCH, IT OPENED UP AN ENTIRELY NEW AREA IN THE SEARCH FOR CHILDREN IN NEED OF SPECIAL EDUCATION SERVICES. THE STATE DEPARTMENT OF EDUCATION IDENTIFIED THE OUT-OF-SCHOOL CHILDFIND ACTIVITIES AS HIGH PRIORITY AND MADE FUNDS AVAILABLE FOR ITS SUPPORT. IN COMBINATION, THE WITHIN-SCHOOL AND OUT-OF-SCHOOL IDENTIFICATION EFFORTS INCREASED REFERRALS WHICH CREATED BACKLOGS IN PROCESSING REFERRAL FORMS AND IN ASSESSMENT. THIS DISTRICT HAS A LARGE URBAN SETTING WITH A COMPLEX ORGANIZATIONAL STRUCTURE; COMMUNICATIONS FROM HIGHER ADMINISTRATIVE OFFICIALS TO PRINCIPALS AND TEACHERS WERE POOR AND RESULTED IN NEGATIVE ATTITUDES AS THEY DID NOT KNOW WHAT WAS EXPECTED OF THEM. FURTHER, ORGANIZATIONAL COMPLEXITIES CONTRIBUTED TO ADDITIONAL CONSEQUENCES WHEN BUILDING LEVEL STAFF WERE TOLD TO IMPLEMENT CHILDFIND ACTIVITIES WITH THE SPECIFIC PROCEDURES STILL TO BE DEVELOPED AT THE UPPER ADMINISTRATIVE LEVELS.

EXHIBIT 3: AN ILLUSTRATION OF PROCESS DYNAMICS RELATED TO AN IEP ADMINISTRATIVE DECISION AT ONE STUDY SITE


IEP DECISION
CONSEQUENCE
COPING STRATEGIES
DISTRICT REQUIRES IEP TO BE WRITTEN FOR EACH SPECIAL EDUCATION PUPIL BY THE END OF THE SCHOOL YEAR.
REGULAR TEACHERS FIND THEY ARE NOT EQUIPPED TO WRITE THE IEP'S.
IEP'S WRITTEN AT START OF YEAR BY SPECIAL ED TEACHERS ONLY.
DRAFT IEP'S WRITTEM BY SPECIAL ED TEACHERS; REGULAR TEACHERS FILL IN THE DETAILS.
INSERVICE REQUIRED TO PREPARE REGULAR TEACHERS TO WRITE IEP'S.
SPECIAL ED TEACHERS TRAIN REGULAR TEACHERS ON-THE-JOB.
ALL STAFF FIND THEY MUST SPEND ADDITIONAL TIME TO WRITE IEP'S.
ALL TEACHERS INVOLVED IN WRITING IEP'S MUST WORK AFTER SCHOOL HOURS TO GAIN NEEDED EXTRA TIME.
PRINCIPALS RELEASE TEACHERS FROM SOME INSTRUCTIONAL DUTIES.
INSTRUCTIONAL PROGRAM PLANNING TIME USED TO WRITE IEP'S.
SOME REGULAR TEACHERS REFUSE TO WRITE ANY IEP'S.
AIDES HIRED TO ASSIST IN THE INSTRUCTIONAL PROGRAM.
QUALITY OF SOME IEP'S THOUGHT TO BE POOR.
CLERICAL STAFF AT ALL LEVELS REQUIRED TO SPEND MORE TIME TYPING AND OTHERWISE PROCESSING FORMS.
STAFF WORK LONGER HOURS.
CENTRAL OFFICE HIRED ADDITIONAL CLERKS.
MOST FORMS HANDWRITTEN; NOT TYPED ANYMORE.
CENTRAL OFFICE PURCHASED EXTRA EQUIPMENT TO EXPEDITE FORMS PROCESSING(WORD PROCESSING UNIT PURCHASED AT ONE SITE).
TEACHERS ASSIST OFFICE CLERKS IN PROCESSING FORMS.

DISCUSSION: THREE LEVELS OF ADMINISTRATION EXIST IN THIS URBAN SETTING, I.E., CENTRAL OFFICE, REGIONAL OFFICE, AND BUILDING PRINCIPAL. PRELIMINARY INFORMATION ABOUT IEP REQUIREMENTS WAS APPARENTLY OF POOR QUALITY SINCE BOTH PRINCIPALS AND TEACHERS IN MANY SCHOOLS RESISTED INITIAL IEP DEVELOPMENT EFFORTS. CENTRAL OFFICE STAFF DEVELOPED IEP PROCEDURES BUT ONLY SPECIAL EDUCATION STAFF AT THE REGIONAL AND BUILDING LEVELS WERE TRAINED IN THEIR IMPLEMENTATION. THESE SPECIAL EDUCATION STAFF WERE RESPONSIBLE FOR ORIENTING REGULAR CLASSROOM TEACHERS IN DEVELOPING INDIVIDUAL IEPS. THE ENTIRE EFFORT PROGRESSED VERY SLOWLY DURING THE 1977-78 SCHOOL YEAR. A LARGE NUMBER OF NEW AIDES WERE HIRED TO ASSIST IN CLASSROOM INSTRUCTION WHILE TEACHERS BECAME FAMILIAR WITH IEPS AND LEARNED HOW TO WRITE THEM FOR INDIVIDUAL PUPILS. THE INCREASED PAPERWORK AT THE BUILDING LEVEL CONTRIBUTED TO NEGATIVE ATTITUDES AND WAS A PRIMARY TOPIC OF DISCUSSION DURING SITE VISITS.

EXHIBIT 4: AN ILLUSTRATION OF PROCESS DYNAMICS RELATED TO AN LRE ADMINISTRATIVE DECISION AT ONE STUDY SITE


LRE DECISION
CONSEQUENCE
COPING STRATEGIES
DISTRICT TO MAINSTREAM AS MANY PUPILS AS POSSIBLE; ATTEMPT TO REDUCE WAITING LISTS.
PUPILS SCREENED WITH EYE TOWARD AVAILABLE LRE.
FINAL RECOMMENDATION MADE ACCORDING TO AVAILABLE SERVICE POSITIONS RATHER THAN ACTUAL NEED(IN MANY INSTANCES).
PUPILS WITH MORE EASILY DISCERNED HANDICAPPING CONDITIONS NOT ASSESSED WITH TOTAL SCREENING PACKAGE.
REGULAR CLASSROOMS FILLED WITH MORE LESS SEVERELY HANDICAPPED PUPILS THAN IN THE PAST.
PLACEMENT RECOMMENDATION MADE WITH KNOWLEDGE OF ACTUAL SERVICE POSITIONS AVAILABLE.
LESS SEVERELY HANDICAPPED PLACED IN REGULAR CLASSROOMS TO FREE-UP SERVICE POSITIONS IN RESOURCE ROOMS.
MORE SEVERELY HANDICAPPED PLACED IN SERVICE POSITIONS LESS RESTRICTIVE THAT USUAL TO FREE-UP POSITIONS FOR THE EVEN MORE SEVERELY HANDICAPPED.
MORE PUPILS PLACED IN RESOURCE ROOMS THAN IN THE PAST.
PLACEMENTS IN SOME BUILDINGS DIFFICULT BECAUSE TRAINED STAFF UNAVAILABLE.
REASSIGNMENT OF PROFESSIONAL STAFF WHO HAVE THE NEEDED TRAINING.
UNTRAINED TEACHERS RESTRICT PUPILS MORE THAN PRESCRIBED.
RESOURCE ROOMS SET-UP QUICKLY IN BUILDINGS WHICH PREVIOUSLY DID NOT HAVE ANY SPECIAL EDUCATION CAPABILITY.
PROVIDE MORE TRAINING TO BOTH REGULAR AND SPECIAL EDUCATION TEACHERS.
MORE INSERVICE TIME SPENT COVERING SPECIAL EDUCATION MATTERS THAN HAD BEEN THE PRACTICE IN THE PAST.
INSERVICE OFFORED AT MORE CONVENIENT TIMES AND LOCATIONS.
SPECIAL EDUCATION TEACHERS USE "BUDDY SYSTEM" AS MEANS OF TRAINING REGULAR EDUCATION TEACHERS

DISCUSSION: THE EMPHASIS UPON MAINSTREAMING WAS CONSIDERED BY MANY CLASSROOM TEACHERS AS AN ADMINISTRATIVE DECISION TO OBTAIN HIGH PUPIL COUNTS FOR STATE REIMBURSEMENT PURPOSES. THIS WAS ESPECIALLY TRUE IN THOSE BUILDINGS WHICH HAD NEVER HAD ANY SPECIAL EDUCATION PUPILS IN THE PAST AND NOW HAD TO PROVIDE SERVICES FOR THEM. ALTHOUGH IMPOSSIBLE TO VALIDATE COMPLETELY, MANY BUILDING LEVEL SCREENING COMMITTEE MEMBERS ACKNOWLEDGED THAT THEY KNEW WHAT SERVICES WERE AVAILABLE IN THEIR RESPECTIVE BUILDINGS PRIOR TO MAKING PLACEMENT RECOMMENDATIONS; THEIR KNOWLEDGE OF AVAILABLE SERVICE POSITIONS WAS ALSO RELATED TO REDUCING WAITING LISTS. THE LACK OF TRAINED STAFF IN THOSE BUILDINGS WHICH NEVER HAD A SPECIAL EDUCATION PROGRAM BECAME A PROBLEM FOR DISTRICT ADMINISTRATORS. ALSO, THE REGULAR CLASSROOM TEACHERS IN THESE SAME BUILDINGS HAD LITTLE CONTACT WITH SPECIAL EDUCATION TEACHERS OR PUPILS IN THE PAST AND WERE UNPREPARED FOR THE MAINSTREAMED PUPILS THEY RECEIVED. ADMINISTRATIVE RESPONSE TO THESE MATTERS TOOK SEVERAL MONTHS; TEACHER ATTITUDES SUFFERED CONSIDERABLY.

Appendix 1

SEA and LEA Descriptive Information

The States and the Sites: Summary Descriptions

Summary data on the case study three states are presented in Exhibit 5. Several similarities and differences among the states should be pointed out.

Although the three states are all medium sized in terms of population, other characteristics of their populations are vastly different. First, State A has a very low proportion of blacks in the population -- 6% -- whereas States B and C have a very high proportion of blacks -- 29% and 20%, respectively. Second, States A and C are both very metropolitan -- 88% and 85% of their populations, respectively, live in metropolitan areas -- whereas State B is relatively non-metropolitan -- only 62% of the population lives in metropolitan areas.

These three states also differ in measures of wealth. On most of these indices, States A and C are similar, and State B is quite different. Both State A and State C have high per capita incomes; both rank among the top ten states in the nation. State B, on the other hand, has a low per capita income, and ranks among the bottom ten in the nation. States A and C have relatively low poverty rates, State B has a quite high poverty rate.

These measures of wealth are also reflected in data on school finance for the three states. Both State A and State C have high average per pupil expenditures in the public schools; State B has a low per pupil expenditure. State B receives a very high percentage of public school monies from Federal sources -- 17% -- whereas States A and C receive relatively low percentages from Federal sources -- only 4% in State A, and 6% in State C.

The differences in state and local contributions to public education in the three states are also dramatic. In State A, over two-thirds of public school monies come from local sources; over one-fourth come from state sources. In State B, only about one-fourth of the monies come from local sources; well over one-half come from state sources. In State C, over one-half of public school monies come from local sources; about two-fifths come from state sources.

The state boards of education in States A and C are appointed by the governor; the state superintendent is in turn appointed by the state board. In State B, on the other hand, the majority of the members of the state board are elected, as is the state superintendent.

In each state, state law or regulations are now similar to P.L. 94-142. However, the implementation dates strongly suggest considerable differences in each states' relative stage of development with regard to special education programs. They vary among the provisions of the law from merely orientation and preparation for implementation to refinement of program operations with a focus on quality, a prime concern during sample selection.

The organization of education in the three states is quite different. State A has a large number of districts; local autonomy is high. States B and C, on the other hand, operate county-wide educational systems, and therefore have relatively small numbers of districts. Local autonomy is much lower in States B and C than in State A.

All three states have approximately the same numbers of handicapped pupils in the schools. The handicapped constitute about 9% of total enrollment in State C, and State B, and about 11% in State A. Data on the distribution of the various handicapping conditions exist for only two of the three states, States B and C. States A and B do not categorize children by exceptionality but rather by services. There are some dramatic differences between States B and C, however. The proportion of mentally retarded in State B is much higher than in State C -- 28% vs. 18%. The proportion of children requiring speech therapy is also higher in State B than in State C -- 45% vs. 36%. The situation is reversed for children with learning disabilities: only 17% in State B vs. 39% in State C.

Summary data on the nine case study sites are presented in Exhibit 6. Three major differences among the LEAs are apparent. First, there is a wide range in public school enrollment in these sites -- from about 1,800 to 165,000. Second, there is a wide range in the proportion of handicapped children in public school enrollment -- from about 7.4% to 24.0%. Third, there is a considerable range in per pupil expenditures -- from $1,100 to $2,030.

EXHIBIT 5: Descriptive Information on the States

	State A	State B	State C
Population:			
total [a]	3.2 million	3.8 million	4.1 million
black (%) [b]	190,000 (6%)	1.1 million (29%)	825,000 (20%)
in metropolitan areas [c]	88%	62%	85%
Wealth:			
per capita income [d]	$7,300	$5,400	$7,000
poverty rate [e]	6.7%	19%	7.7%
School enrollment:			
public [f]	650,000	830,000	870,000
private [g]	100,000	165,000	134,000
Handicapped pupils:			
number [h]	73,300	74,300	75,300
% of public school enrollment	11.37%	9.0 %	8.7%
Source of public school expenditures: [i]			
federal	4%	17 %	6%
state	28%	56%	40%
local	68%	27%	55%
School districts: [j]			
number	165	66	24
size (enrollment range)	100-29,000	1,800-92,000	3,500-165,000
Per pupil expenditures:			
state average [k]	$1,740	$1,200	$1,824
range [l]	$900-$2,270	$990-$1,700	$1,370-$2,300
State board of education	appointed	8 elected; 3 appointed	appointed
State superintendent	appointed	elected	appointed
State Law: date of implementation	1967	September 1978	1975

Source notes on following page.

a Source: U.S. Bureau of the Census, Current Population Reports, forthcoming; estimate for 1976.

b Source: Ibid.; data for 1975.

c Source: Ibid.; data for 1975.

d Source: U.S. Bureau of Economic Analysis, Survey of Current Business, April, 1977; data for 1976.

e Source: U.S. Bureau of the Census, Survey of Income and Education, 1976; data for 1975.

f Source: National Center for Education Statistics, Education Directory: Public School Systems, 1976-77.

g Source: National Center for Education Statistics, Digest of Education Statistics, 1976.

h Source: U.S.O.E., Bureau of Education for the Handicapped, October 1977 child counts.

i Source: National Center for Education Statistics, The Condition of Education, 1977; data for 1976.

j Source: National Center for Education Statistics, Education Directory: Public School Systems, 1976-77.

k Source: National Center for Education Statistics, Digest of Education Statistics, 1976; data for 1976. Figure is for total per pupil expenditures, including instruction, transportation, debt service, capital expenditures, Federal funds.

l Source: SEA data.

EXHIBIT 6 : THE SITES

	State A			State B			State C		
	urban	suburban	rural	urban	suburban	rural	urban	suburban	rural
school enrollment [a]	29,000	5,400	1,800	92,000	12,600	15,000	165,000	77,200	11,900
handicapped enrollment [b]	6,950	400	260	10,600	1,000	1,400	18,600	6,600	1,200
(% of school enrollment)	24.0%	7.4%	14.4%	11.5%	7.9%	9.3%	11.3%	8.5%	10.1%
per pupil expenditure [c]	$2,030	$1,550	$1,710	$1,430	$1,165	$1,100	$1,800	$1,610	$1,635

[a] Source: National Center for Education Statistics, Education Directory: Public School Systems, 1976-77.

[b] Source: October 1977 child count; obtained from SEA.

[c] Source: SEA data.

Variations in Implementation of Major Provisions

To compare the states and sites on the way they are implementing the major provisions of P.L. 94-142, we first developed a generic approximation of special education processes, which we converted to a flow chart. We then identified, for each state, the differences from the similarities to this idealized model. These three charts are presented in Exhibits 7, 8, and 9.

Several differences among the states emerge from an examination of these exhibits. Childfind activities, for example, are centered at the LEA level in States B and C, but are more a state function in State A. In State C, out-of-school referrals and in-school referrals are not part of the same process. In State A, the majority of referrals come from within the school system; in one district in State B, on the other hand, extra-LEA agencies are the major source of referrals.

State C has had a special education management information system (MIS) in operation for a few years. All child count data are included in this system, but not all districts participate extensively in the system. State A has initiated an MIS during the past year; quite detailed forms on each handicapped child have to be filled out before a district can receive P.L. 94-142 funds. As yet, there is no state-wide MIS in State B.

In State A, parents' rights are a major concern in all three districts; parents are notified of referrals, and their permission is obtained before assessment begins. In State C, on the other hand, such notification has not been required in two of the districts. The new regulations in this state, however, require notification and consent before assessment can begin. Parental permission for assessment is required in State B.

The assessment process is different in the three states. In State B, most assessments are conducted by four-member teams under contract to the SEA. These teams are generally affiliated with universities. In State A, the assessment process varies from building to building, primarily in the urban district. Some buildings perform educational assessments before psychological testing, others after placement, and others not at all.

The screening and placement process is similar in States A and C. A committee reviews the assessment results and recommends placement. Parents attend these meetings in State A; in State C, the screening committee reconvenes after a recommendation has been made to explain the decision to parents. In all three states, parental permission is required before placement can be made.

An IEP-like process has been in place since the early 1970's in State A. The SEA has developed standard forms for IEPs. Long-term goals are written by teachers. The SEA in State B has also developed a standard form for IEPs, which are usually written by teachers. In all three states, parents must approve the IEP.

Annual reviews of all handicapped children are conducted in States A and C. How extensive this review is varies from district to district.

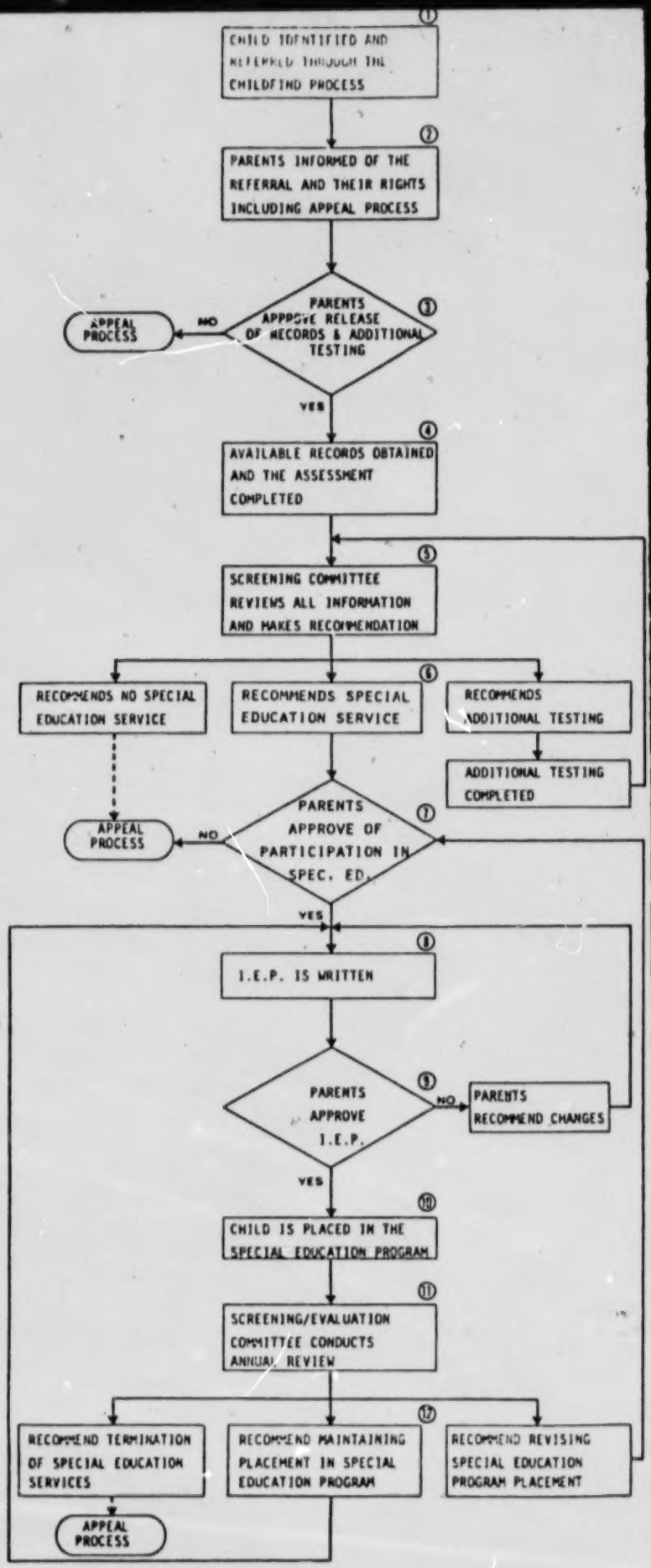

1
CHILD IDENTIFIED AND REFERRED THROUGH THE CHILDFIND PROCESS
2
PARENTS INFORMED OF THE REFERRAL AND THEIR RIGHTS INCLUDING APPEAL PROCESS
3
PARENTS APPPOVE RELEASE OF RECORDS & ADDITIONAL TESTING
NO
APPEAL PROCESS
YES
4
AVAILABLE RECORDS OBTAINED AND THE ASSESSMENT COMPLETED
5
SCREENING COMMITTEE REVIEWS ALL INFORMATION AND MAKES RECOMMENDATION
RECOMMENDS NO SPECIAL EDUCATION SERVICE
6
RECOMMENDS SPECIAL EDUCATION SERVICE
RECOMMENDS ADDITIONAL TESTING
ADDITIONAL TESTING COMPLETED
7
PARENTS APPROVE OF PARTICIPATION IN SPEC. ED.
NO
APPEAL PROCESS
YES
8
I.E.P. IS WRITTEN
9
PARENTS APPROVE I.E.P.
NO
PARENTS RECOMMEND CHANGES
YES
10
CHILD IS PLACED IN THE SPECIAL EDUCATION PROGRAM
11
SCREENING/EVALUATION COMMITTEE CONDUCTS ANNUAL REVIEW
12
RECOMMEND TERMINATION OF SPECIAL EDUCATION SERVICES
RECOMMEND MAINTAINING PLACEMENT IN SPECIAL EDUCATION PROGRAM
RECOMMEND REVISING SPECIAL EDUCATION PROGRAM PLACEMENT
APPEAL PROCESS

EXHIBIT 7

THE SPECIAL EDUCATION PROCESS

STATE A

① • First priority primarily state-centered activity; regional centers
• State MIS forms filled out by district to report child count data
• Majority of referrals from within school system

②③ • U - letter from principal; R - parent must sign letter; staff may make home visits to obtain consent; S - parents sign release form, itinerant clerk goes from building to building to perform tasks related to informing parents

④ • U - assessment varies building to building; pre-assessment teams in some buildings; some schools perform educational assessments before psychological testing, others after placement, others not at all; two diagnostic centers
• R - primarily psychological tests; a few pupils not tested at all; no labels
• S - initial placement team meeting to decide on tests

⑤⑥⑦ • U - 6+ members of placement team; regular teachers rarely attend; central office determine actual placement, based on placement team recommendation -- self-contained classroom, resource room, additional assessment, outside placement; lag of 3 to 12 months between recommendation and actual placement; principals have voice in placements; central placement team required for outside placement
• R - up to 10 members of placement team; limited number of placement options in district; superintendent involved in all outside placements
• S - 4 meetings per child, including diagnosis; central placement required if full-time placement recommended; placement based on needs rather than available services
• LRE not defined by state law on regulations
• U - if parents not in attendance, mailed results of placement meeting; S - same; wait for approval; R - same; wait for approval

⑧⑨ • State policy for individualized instruction since early 1970's
• U - four central office staff hired to assist with IEP development; long-term goals written by placement committees, short-term goals written by teachers; most pupils should have IEPs by September 1978
• R - long-term goals developed by placement committees, short-term goals by teachers; IEPs developed for all new referrals; IEPs being developed for children already placed
• S - long-term goals decided in placement meeting; short-term goals developed by regular and special education teachers together; short-term objectives reviewed by placement team
• parental approval of IEP required

⑩ • U - if no slot available, child may be returned to regular class to await placement or be referred to home instruction
• R - most children mainstreamed if possible; few outside placements
• S - no waiting list; superintendent must approve outside placements; many children mainstreamed

⑪ • U - yes
• R - yes
• S - yes

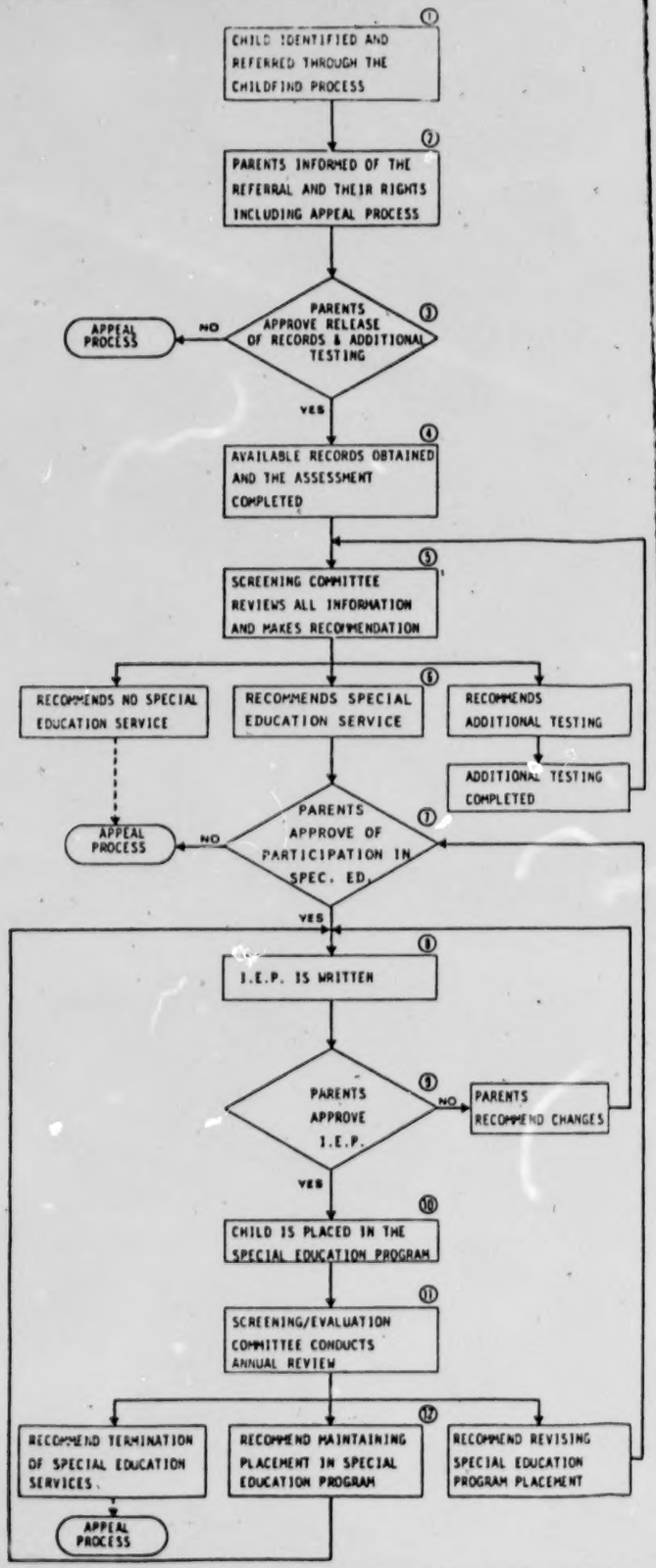
⑫ • U - parents usually sent letters on major change; confusion over what constitutes major change
• S - parents involved in placement changes
• R - usually parents involved in placement changes

LEGEND: U = Urban S = Suburban R = Rural

EXHIBIT 8

THE SPECIAL EDUCATION PROCESS

STATE B



①⑦① • U - Two staff assigned to Childfind, one for preschool, other for underserved; reports filed quarterly; Notification of parents for evaluations; Written permission more common after P.L. 94-142; Booklet on "parent rights" being prepared.
• R - Childfind coordinator is funded out of Part IB; major source of referrals from other agencies; Childfind used to generate community awareness of special education. Parent permission for testing refused to grant permission. Parent participation is a continuing problem of all handicapped children, whether served by LEA or by private agencies. Options for surrogate parents exist.
• S - Full-time coordinator; assigned by outside agencies and groups; upon identification parent contacted to obtain written permission for testing. LEA places high emphasis on complete counts.

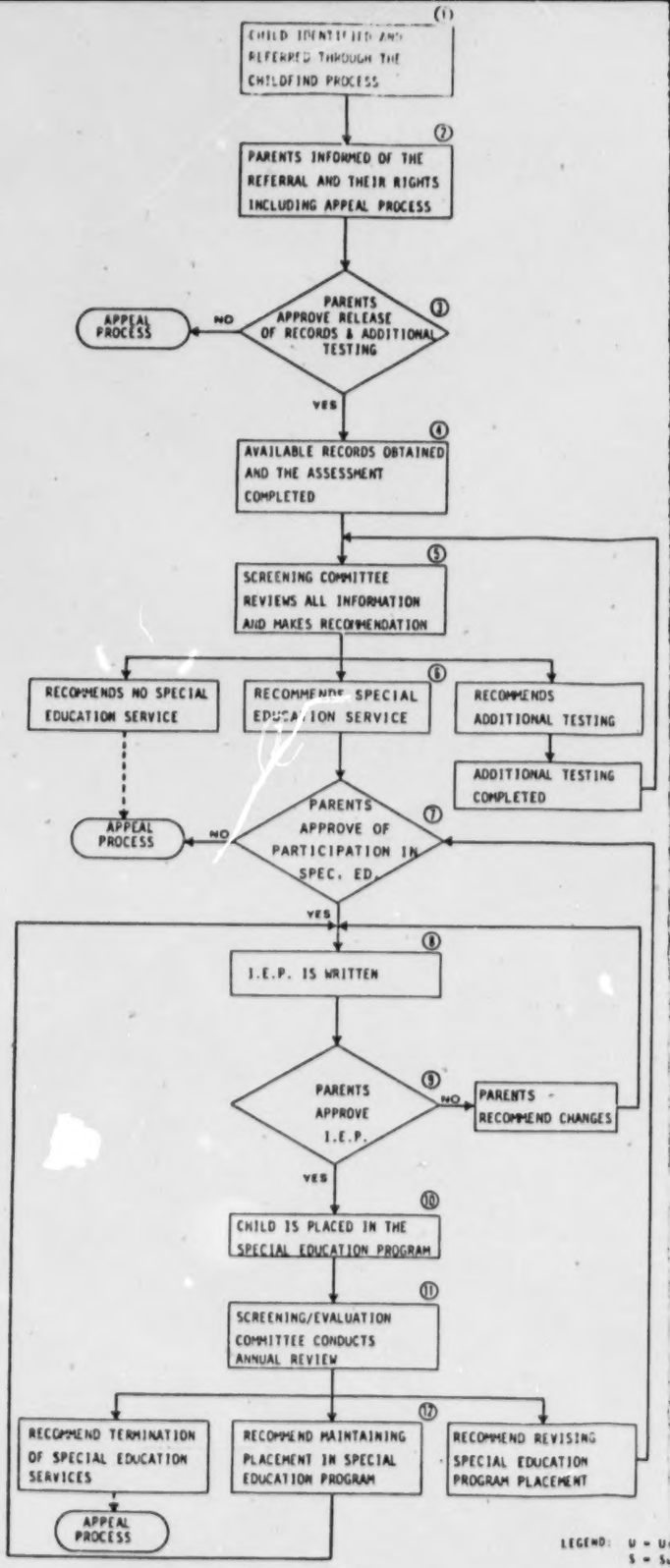
④⑤⑥ • In all sites, team of 4 conducts screening and evaluations; most teams are operated by universities under contract to the SEA. Some teams are administered by the LEA directly. Each team has quota of 400 children per year.
U - 4 SEA teams; 2 local; Long waiting list - referral may wait over a year. Team reviews social history, education achievement and other information on child; written evaluation "follows" the child
• R - one 3/4 member SEA team; central office staffperson does initial screening; small waiting lists for evaluation.
• S - one 1/2 member university team with 600 quota; evaluation priority includes "gifted and talented"; early in year, waiting list was 6 months or more.

⑦ • Parent permission has to be granted in writing in all sites.
• R - request is not made until service is available.

⑧⑨ • U - SEA format revised by LEA; in-service training held for regular and special education teachers in Spring 1977; Special education teacher writes IEP. May be updated by another teacher; IEP relies heavily upon previous evaluation. Principal or vice principal often attends meeting; parent attendance varies; no release time allowed last year.
• R - new mechanism in this LEA; planning "conferences" are not formal; SEA deadlines followed; no release time provided; special education teachers use "team" assessment results to develop long-term goals.
• S - IEP-type mechanism already in place. Collaboration between special and regular teachers. IEP conferences are formalized with parent participation.

⑩⑪⑫ • U - placement is handled by Regional Coordinator or Director of Special Education. Most out-of-school placements handled by Director of Special Education. District contracted with "private providers" last year; may change in future. When alternative placement available, parent may be given choice. Reviews and reevaluations pose a resource problem.
• R - Range of services very limited; central office staff work with E-team, parent consent is requested for referrals for which services available; most placements involve groups as students transferred to LRE or if new teacher is hired. Reevaluations made as new service options become available.
• S - Director of Special Education handles all placements; when new program is available, all "candidates" are thoroughly evaluated; when no program available lag can be up to a year; parent permission must be obtained. LEA does not contract out for SPH services.

LEGEND: U = Urban; S = Suburban; R = Rural



LEGEND: U = Urban
S = Suburban
R = Rural

① • R - Hot Line; U - Radio, TV, Brochures; S - Brochures only;
• Out of school activity for Childfind separated from referral process
• State priority for this assurance
• Interagency cooperation for all sites
• Assessment done in building before student referred (U & S)
• U - Catholic schools were provided with personnel, other LEAs required Catholic pupils to join the public school system

② • U - not informed; S - informed but later at screening committee level or psychological testing
• Child given help immediately after referral

③ • Generally consent sought for medical but all districts thought they could use records they had on hand already
• Forms sent home to be signed by parents for assessments only
• Bottom of release forms have parents rights statement
• Formal hearing process never used at LEA, but SEA has many hearings for tuition placements
• Each hearing officer cost to districts is $100; LEAs tried to handle everything informally; all were successful in 1977-78 school year

④ • Assessments completed if it did not require psychological
• U - multiple criterion with 7 tests; S - same but not as sophisticated; R - even less sophisticated than suburban.
• U & R - down played the use of I.Q.; S - went ahead using it without reservation or disclaimers.
• Referring teacher, principal, in first step; resource person - pupil personnel worker added (sometimes parent also); psychologist

⑤ • Same group of people involved with agency representative (this team has increased responsibilities)
• Screening committee responsible at all sites for final placement
• School level or district level
• Parents not involved but review screening committee recommendation (parents invited to attend in U; not required)

⑥ • Same group of people as screening make recommendations; U - may also draft an IEP at this time
• Recommend a LRE when services aren't available (more in R, less in S, and lesser still in U)
• Screening committee denies placement for 1) improper placements, 2) due process, 3) lack of signatures, etc.
• District level approval team backup varies in sophistication
• Screening committee uses additional testing to strengthen their recommendation for LEA approval
• Appeal process avoided where possible (as above)

⑦ • Reconvene screening committee to explain to parents
• Stronger effort here to get parent participation at all sites
• Placement not made until parent signs off on form
• School could initiate a due process hearing if parents don't respond or do not approve <u>any</u> placement

⑧ • Placement happens before IEP is written in S
• U - Regular teacher works with special education teacher, S - special education teacher writes IEP with help, R - special education teachers writes IEP
• Roughed out prior to parental involvement presented in a conference

⑨ • Generally parents just sign off and do not make additional recommendations
• S - parents have been known to make recommendations
• In U - generally IEP in more finished form when presented for parental approval

⑩ • Wait listed when services not available or given placement as close to need as possible (problem more severe in R, lesser in S, and lesser in U)
• U - place children first that they thought would benefit the most
• First year placements taking more time than anticipated for following years (6 months to 1 year not uncommon)

⑪ • S - requires retesting on recommendation of psychologist's (member of team) review of child's progress
• Some schools recommend new psychologicals and others don't
• Composition same as earlier screening committee
• S - distinguishing reevaluation from retesting to comply with state guidelines and avoid unnecessary testing

⑫ • Recommendations based on retesting or reevaluation
• Central office approval necessary for outside school placements
• Consideration made for students that did not get the exact level of placement that his/her need suggested
• Parental approval required
• Appeal process same as above

EXHIBIT 9

THE SPECIAL EDUCATION PROCESS

STATE C

Site Profiles

District A.1

District A.1 is an urban district with about 27,000 students, 48% of whom are black, 31% hispanic, and 21% white. The district has 34 schools -- 25 elementary, two middle, three high, and four special. (Seven schools, the school in an alternative secondary network, and a diagnostic center were included in this study.) Between 4,000 and 7,000 of the pupils are handicapped. There are approximately 1,900 teaching personnel in A.1.

The nine members of the school board are elected city-wide on a staggered basis. The superintendent is appointed by the school board for a three-year period. Education funds from the state and Federal governments are received by the city council, then reallocated to the board. P.L. 94-142 funds, however, are transmitted directly to the board.

District A.1's total education budget for 1976-77 was $54.7 million; $5.81 million of this, or 10.6%, was for special education. $2.1 million for special education was in the form of state aid. The per pupil expenditure for all pupils in 1976-77 was $2,034.

Although the district claims to have identified all its first priority children, in 1976 the Office for Civil Rights filed a complaint against A.1, and a Spring 1978 suit charged the district with noncompliance on P.L. 94-142. The ARC is the only active advocacy group in the district.

The most important consequences of the implementation of P.L. 94-142 in A.1 during 1977-78 were:

- The Legal Aid Society has brought a class action suit against the district, charging that A.1 has not provided a free appropriate public education for handicapped children.
- Since P.L. 94-142 went into effect, handicapped children who had been "lost" in the system, and were consequently not receiving services, are now being considered for renewal of services.
- District A.1 has increased the size of its special education central office staff specifically to assist schools in developing IEPs and in the assessment/placement activities.

- Since P.L. 94-142 went into effect, placement meetings have expanded from discussion of available classrooms to discussions of available programs.
- Under P.L. 94-142 funding, for the first time Federal flow-thru dollars are going directly to the board of education rather than to the city council.

The district used the requirements of P.L. 94-142 as a lever to expand the small central office special education staff. The district also conducted in-service training for special education staff. After these sessions were completed in January 1978, the district imposed its first deadline for completion of IEPs.

The school board cut the district budget for psychologists in the 1967-77 school year, but the LEA made no effort to lobby for even partial restoration of these cuts in 1977-78. There is a waiting list for testing of at least 200 children in A.1, although some staff deny this.

District notification of parents and parent attendance at planning meetings is sporadic. The district is beginning to monitor placements in home instruction, but there are nonetheless still many handicapped children in self-contained basic studies classes taught by regular teachers, in alternative settings where they are not properly evaluated, and in home instruction without necessary special education services.

District A.2

District A.2 is a rural district with a student population of 1,800 students, only 2% of whom are members of minority groups. The district has four schools -- two elementary, one junior high, and one high. (All four schools were involved in this study.) About 15% of the pupils are in special education. A.2 has a staff of 125 regular teachers and 18 special education professionals.

The superintendent in District A.2 has been there for 15 years. There is no director of special education; rather, an assistant superintendent has responsibility for coordinating special education along with his other duties.

District A.2 has a 10-year history of mainstreaming, and a five-year history of individualized instruction. The school budget does not have a line item for special education.

The district received $171,000 from the state for special education in 1976-77. Total per pupil expenditures for the same year were $1707.

The most important consequences of the implementation of P.L. 94-142 in 1977-78 in A.2 were:

- Most building principals have become the key to the special education referral process because the formal special education process requires their concurrance in a child's need for special services.
- As a result of P.L. 94-142, parents have started a local advocacy group; the parent notification process has been formalized.
- P.L. 94-142 has been interpreted by some district staff as excluding informal program discussions when determining the need for individual referrals.
- The development of IEPs has led to special education staff meetings for the first time; the district had not developed IEPs for all handicapped students by June 1978, however.
- Placement meetings now include up to 14 people, many of whom were not involved in these meetings before P.L. 94-142; these meetings take much more time than previously, and lead to service delays.

This district's primary concern about the impact of P.L. 94-142 during 1977-78 was potential law suits and the due process requirements of the law.

Teachers and staff believed that they had to limit informal discussions about students because parents would not be involved in these meetings. In some schools, formal written communications with parents were used for the first time during 1977-78; prior to this, there had been a great deal of informal contact with parents.

There is no director of special education in A.2, and programming has consequently been inconsistent. The placement options in A.2 have not changed as a result of P.L. 94-142. One new class (for secondary-level learning disabled students) has been established, but in general there is no move toward increasing program options in spite of P.L. 94-142 and despite the need.

Group planning meetings have grown dramatically in both size and frequency since P.L. 94-142 went into effect; this is largely in response to the due process requirements of P.L. 94-142. Psychological tests are still the predominant factor in diagnosis and placement, although teachers are performing more informal evaluations than they previously did.

The district has developed a formal IEP document, and plans to monitor teacher completion of these.

District A.3

District A.3 is a suburban district with approximately 5,200 students; approximately 12% of these students are members of minority groups. There are fewer than 400 special education students in the district, about 7.5% of total enrollment. There are 10 schools in A.3 -- seven elementary, two middle, and one high. (Seven of the ten schools were included in this study.)

The superintendent in A.3 has been in the district for several years. The special education coordinator has been with the district for 19 years.

The district's education budget has been increased 14% for 1978-79 to meet the costs of special education services. A.3 received $415,000 from the state in 1976-77 for special education; this increased to $450,000 in 1977-78. General per pupil expenditures in A.3 were $1,550 in 1976-77.

The most important consequences of the implementation of P.L. 94-142 during 1977-78 were:

- The emphasis on a formal special education process has caused concern among staff that children with borderline problems (e.g., social or adjustment problems) will not receive the help they need.
- Special education teachers (and regular teachers, to a lesser degree) have become more involved in assessing children, both during diagnosis and during instruction.
- To comply with the increased reporting and documentation requirements of P.L. 94-142, the district has spent its Federal appropriation to improve its reporting ability. Although instruction is not viewed as a secondary function, it becomes so in the effort to demonstrate compliance.
- Parents of nonhandicapped children are beginning to resent the money being spent on special education.
- The complex scheduling of the multiple placement meetings employed in A.3 takes much time away from service delivery.

District A.3 has had individualized instruction in special education for over five years. For several years prior to P.L. 94-142, the district had been systematically increasing the number of resource rooms, hiring additional special education teaching and administrative staff, and developing an objective-based special education curriculum for conversion to a computerized system. The

principal impact of P.L. 94-142 has been to further A.3's development of their data recording system; to update their IEP group planning process and to hire additional clerical staff to handle group meetings; and to improve administrative (organizational) functioning. Some Federal funds were used for support services, but most were used to improve administration of special education programs.

Some principals and regular education teachers have become involved in the special education process as a result of P.L. 94-142. Parents have routinely been notified about actions involving their handicapped children for many years; their attendance at planning meetings has increased as a result of P.L. 94-142. Some citizens have voiced concern that special education would receive more funds at the expense of regular programs.

District B.1

District B.1 is an urban district with over 92,000 students, 80% of whom are black. There are 258 schools in the district, and a large Catholic school system (65 schools) in addition to the public schools.

The special eudcation program in B.1 dates from 1911. There are presently over 10,500 special education pupils in the district, or 11.5% of total enrollment, and 750 special education teachers. There is a director of special education and four regional coordinators. The district was the defendant in a special education court case in the early 1970's.

Per pupil expenditures in 1976-77 were $1,430.

The ARC is active in B.1, and runs programs for handicapped children.

The most important consequences of the implementation of P.L. 94-142 in B.1 during 1977-78 were:

- As a result of successful childfind efforts, resources in such areas as evaluation, support services, instructional services, transportation, etc., have become inadequate to meet the district's needs.
- The IEP serves as a monitoring device in this district. SEA officials focus on implementation of IEPs; they monitor both the quality of the document and the actual delivery of services. The LEA is monitoring school buildings in the same fashion.
- To comply with the LRE assurances of P.L. 94-142, the district reclassified groups of children rather than individual children.
- Because they could not be evaluated, more than 1,000 first- and second-priority children were not placed in appropriate instructional settings.
- Re-evaluation of handicapped children continues to be a problem; the number of children requiring reevaluation is high.

The highest priority within this district has been the establishment of mechnaisms for developing and monitoring IEPs. The office of the district's director of special educatin has prepared a manual for developing IEP mechanisms at the building level. Most special education teachers have received training related to IEPs.

The district has established a position in the central office to oversee childfind activities. Most of the recently identified children have been severely and profoundly handicapped.

The other privisions of P.L. 94-142 have a much lower priority in B.1, in large part because initiatives in many of these areas (e.g., due process, non-discriminatory assessment) were taken in the early 1970's as a result of a court case.

District B.2

District B.2 is a suburban county district with approximately 12,800 pupils. The district has 19 schools -- nine elementary, four middle, four high, and two vocational. (There are also four parochial schools in this district, as well as a number of preschool and elementary facilities run by churches and civic groups.) There are 1,100 special education students in the district, about 8% of total enrollment. Some special education services are offered in each of the buildings in the district.

The district's special education coordinator has been with the district for 18 years, most of that time as a teacher. B.2 frequently enters into cooperative arrangements for providing special education services with B.1 and with another suburban district. The ARC is active in B.2, and runs a program for retarded children in the district.

Per pupil expenditures in 1976-77 were $1,165.

The most important consequences of the implementation of P.L. 94-142 during 1977-78 in B.2 were:

- The IEP requirement has led to a duplication of effort; the district utilized curriculum guides prior to P.L. 94-142 that incorporated much of the information contained in IEPs. These guides are still being used.
- Although there are benefits in meetings with parents, the scheduling problems have been enormous; the time required for these meetings is especially great.
- The district has attempted to mainstream handicapped children for non-academic classes (e.g., art, physical education), but this has led to a wide range of age groups in a single class in some instances.
- Building principals and vice-principals are required to devote an excessive amount of time to IEP meetings and other parent conferences.
- The district plans to "absorb" all severely handicapped children identified through childfind into a regular school building.

The special education central office staff in B.2 is small -- the director and one professional staff member who is responsible for coordinating childfind activities and for monitoring IEPs. The district has been able to administer the special education program with a small staff because of cooperation from the building level; because principals are generally knowledgeable about and supportive of special education; and because the special education instructional staff is well qualified.

District B.3

District B.3 is a rural county with 15,000 pupils and an additional 2,400 pupils in private schools. There are three school regions within the county. The district has 32 schools -- 23 elementary, three junior high, four high, and two special. (There are also five parochial and five private schools in the district.) There are 1,400 special education students in the district, about 9.2% of total enrollment.

The district's 15-member school board has a subcommittee on special education. There are no advocacy or parent groups active in the district.

The total per pupil expenditures in B.3 for 1976-77 was $1,100.

The most important consequences of the implementation of P.L. 94-142 in B.3 during 1977-78 were:

- The district central office used IEPs to monitor special education teachers rather than as instructional tools.
- Special education instructional personnel now have responsibilities outside their skill areas that they are not prepared for.
- Non-categorical resource rooms to serve handicapped children are being added to the district's special education program options.
- Childfind activities have resulted in the identification of children who are more severely handicapped than those currently being served by this district.
- Special education teachers devoted two weeks at the end of the school year to writing IEPs; they performed non-instructional duties during this time.

Special education services to date have been provided in only a small number of buildings. Board members seem to resent the pressures of P.L. 94-142 for mainstreaming, paperwork, and more staff. The director of special education was appointed in July 1977; prior to that date, there was no director in B.3.

District C.1

District C.1 is a suburban county district with approximately 77,200 pupils. About 6,600 pupils are in special education, or 8.5% of enrollment. There are 111 schools in the district -- 75 elementary, 29 secondary, and 7 special. There are about 4,000 regular teachers and 354 special education teachers in C.1.

The district director of special education is new in that post; the previous director is now the state director. C.1 received about $3.6 million in state aid for special education in 1976-77.

Members of the board of education are appointed by the governor of the state. There are several active advocacy groups in the district.

Total per pupil expenditures in 1976-77 were $1,610.

The most important consequences of the implementation of P.L. 94-142 in C.1 during 1977-78 were:

- The school district made plans to open its own center for severely and profoundly handicapped children.
- The county health department has asked the school district to reimburse the department for increased activities that resulted from the LEA's childfind efforts.
- The district established a multi-disciplinary team to reassess students whose handicapping conditions have changed.
- Special education teachers used their planning periods to develop IEPs rather than to prepare instruction.
- As a result of placing handicapped children in regular classroom settings, there has been more communication between regular and special education teachers.

Since the implementation of P.L. 94-142 in this district, the LEA central office has been reorganized to place all special education services under the director of special education. The district has also revised its screening committee procedures; broadened the scope of its assessment procedures; and placed a great deal of emphasis on the LRE concept. Other priority areas included programs for emotionally disturbed children and preschool programs for handicapped children.

District C.2

District C.2 is an urban district with about 165,000 pupils. Almost 75% of these pupils are black. There are 18,600 special education pupils in the district, about 11.3% of enrollment. (The district acknowledges that about 25,000 pupils are in need of special education services.) There are 220 schools in C.2 -- 155 elementary, 65 secondary -- of which 14 are for handicapped students. The district has about 10,000 teachers and administrators, 1,100 of which are special education teachers.

The school district has been decentralized into nine regions. The total education budget for 1977-78 was $285 million. About $17 million was received from the state for special education. Per pupil expenditures in 1976-77 were $1,800. About a dozen advocacy groups are active in C.2.

The most important consequences of the implementation of P.L. 94-142 in C.2 during 1977-78 were:

- The parochial school system has requested that C.2 give these schools funds to spend as they see fit, and to provide full-time staff for special services.
- In-service training was provided for regular classroom teachers, emphasizing that different children require different teaching strageties.
- There has been an increased emphasis on childfind activities at the preschool and kindergarten levels, and improvement in the screening committee process.
- Principals and teachers acknowledged that they did not have the necessary training and experience to identify handicapped children.
- Many special education teachers are voluntarily working extra hours to complete IEPs and other paperwork.

The main priorities in 1977-78 in C.2 were childfind and IEP development. Special education pupils are being moved into regular classrooms. C.2's assessment procedures have been improved, which has led to the identification of more handicapped children. One solution to this problem of increased numbers of handicapped pupils has been to hire more paraprofessionals/aides, to increase classroom size in some instances, and to increase the number of support personnel (e.g., speech therapists, physical therapists, etc.) at the building level.

The district also placed considerable emphasis on inservice training at the building level to prepare regular classroom teachers for mainstreaming.

District C.3

District C.3 is a rural county district with about 12,200 pupils. There are about 1,200 special education pupils, or 10% of total enrollmeent. There are 26 schools in C.3 -- 18 elementary, four middle, two secondary, one vocational, and one special education center. There is also a large parochial school population in the district.

The ARC and the ACLD are both very active in C.3.

C.3 has 70 special education teachers. The district special education supervisor has no direct authority over special education teachers, however.

In 1976-77, the district received $725,000 from the state for special education. Per pupil expenditures in 1976-77 were $1,635.

The most important consequences of the implementation of P.L. 94-142 in C.3 during 1977-78 were:

- Students were being deprived of services for anywhere from two to three weeks to a full year because of processing procedures.
- Conflicts between the office of special education and other LEA offices involved in identifiying and evaluating children with special needs have surfaced and are worsening because of P.L. 94-142 requirements.
- Teachers resent the increased time and effort required for IEP developemnt.
- Most special education teachers resent having to write IEPs for students they have not taught and do not know.
- Scheduling problems involved in moving special education students into and out of regular classrooms have limited flexibility in both regular and special education classrooms.

During the 1975-76 school year, C.3 entered into a cooperative agreement with three other districts and several state and local agencies to provide services for emotionally disturbed children and adolescents.

Many teachers had trouble meeting the October 1, 1977, deadline for IEP development in part because they received little guidance from the central office. The central office did not state its position on IEPs until after BEH published regulations in late August 1977. Directions that did come from the central office were often confusing, and led to a great deal of extra work for teachers.

There is a backlash in C.3 because of the relatively large expenditures for special education. County commissioners are reluctant to approve additional budget expenditures for special education.

The director of special education has a close professional relationship with high officials in the state department of education, and frequently consults with these individuals.

Appendix 2

Activities and Study Methodology

Activities and Methods

The activities and methods used in this case study are described in detail in the Final Study Design (February 10, 1978) and in the most recent Status Report of Activities (April 1978) submitted to BEH. In this section, we merely highlight our activities and methods used thus far.

First, documents were collected from the three SEAs and nine LEAs, beginning in November 1977. As these data were collected, they were reviewed, analyzed, and entered into the project documentation system.

Second, core project staff conducted interviews with appropriate SEA officials and LEA central office staff and attended relevant meetings, also beginning in November 1977. These data, together with the data from the documents, provided the basis for a briefing of BEH officials in January 1978.

Third, on-site field work in the nine LEAs began in February 1978 and continued through June 1978. Activities during this phase comprised: (1) conduct of unstructured interviews with building-level staff, including principals and teachers; (2) observation of various meetings, ranging from SEA-sponsored workshops at the local level to parent and community meetings; (3) conduct of unstructured interviews and discussions with representatives of advocacy groups/parent groups, and community groups; and (4) periodic conduct of discussions and interviews with high-level SEA and LEA officials. A summary of these data collection activities is presented in Exhibit 10.

The general protocol used by field staff and core staff in conducting interviews with special education officials and staff focused on four general questions:

- Describe the special education process as you know it and your specific role in that process.
- What has been the nature and extent of change in this process and in your role over the last year or so?
- What is the nature and extent of consequences, problems, or issues which have arisen and/or affected you as the various provisions of P.L. 94-142 have been implemented in your area of responsibility?
- Why do you feel these particular consequences arose? To the extent they created problems for you, how did you cope with them?

Buildings were selected for study that appeared to vary in their stage of development in special education or in the consequences associated with the

implementation of P.L. 94-142. Individuals who were interviewed frequently provided "leads" to other people to be interviewed. As relevant events took place (e.g., the release of new guidelines by the SEA), field staff observed reactions and noted consequences, decisions, or coping strategies resulting from these events.

Core staff continually reviewed and analyzed data from the field staff. Information thus collected was utilized in preparing the individual case studies, and in conducting the various cross-site analyses.

EXHIBIT 10: FIELD WORK ACTIVITIES BY STATES AND SITES

INTERVIEWS/CONFERENCES	STATE/SITE											
	A1	A2	A3	State Total	B1	B2	B3	State Total	C1	C2	C3	State Total	OVERALL TOTAL
GENERAL EDUCATION													
Board of Education	2	-	2	4	1	3	5	9	-	1	-	1	14
Superintnedent of Schools	-	3	1	4	2	1	2	5	-	-	1	1	10
Assistant/Regional Superintendent	-	5	1	6	3	-	-	3	1	7	1	9	18
Central Office Administrative Staff	8	-	1	9	10	6	5	21	4	10	1	15	45
Principal/Vice Principal	22	7	9	38	15	24	6	45	11	15	6	32	115
Guidance Personnel	7	2	2	11	-	1	-	1	1	6	1	8	20
Regular Teachers	14	13	12	39	18	24	18	60	17	10	11	38	137
SPECIAL EDUCATION													
Director of Special Education	4	-	2	6	11	8	14	33	6	4	2	12	51
Special Education Administrative Staff	43	-	20	63	21	8	6	35	6	10	4	20	118
Special Education School Principals	2	-	-	2	9	-	1	10	-	2	1	3	15
Special Education Teachers	18	15	14	47	39	44	20	103	13	14	14	41	191
Parents	-	2	3	5	2	6	5	13	2	5	4	11	29
RELATED SERVICES													
School Psychologists/Testing Personnel	4	5	2	11	7	4	7	18	2	-	1	3	32
Social Workers/Pupil Personnel Workers	3	-	3	6	2	3	1	6	1	-	-	1	13
Related Program Personnel	-	-	3	3	3	6	3	12	1	1	1	3	18
External Agencies	12	-	-	12	5	2	5	12	-	-	-	-	24
External Groups	1	5	-	6	9	2	2	13	6	-	-	6	25
TOTAL NUMBER OF INTERVIEWS	140	57	75	272	157	142	100	399	71	85	48	204	875
CONFERENCES/MEETINGS													
State/Regional	1	1	1	3	11	2	2	15	2	2	2	6	24
Board of Education	-	2	3	5	-	-	5	5	1	-	-	1	11
Inservice Training	1	-	1	2	10	1	4	15	-	1	3	4	21
Placement/IEP	3	5	2	10	6	7	-	13	-	1	2	3	26
Legislative	-	-	-	-	7	-	2	9	1	1	1	3	12
Community	-	-	1	1	7	-	2	9	-	-	1	1	11
TOTAL NUMBER OF CONFERENCES	5	8	8	21	41	10	15	66	4	5	9	18	105

Appendix 3

Summary Tables of Consequences

The Consequences

Consequences were identified in each of the nine LEAs. Based on information supplied by the state coordinators, the data analyst rated consequences on three criteria with a five point scale: impact on students and parents, impact on LEA staff, and the magnitude of the implications of the consequences. From this, a summative rank order was developed to select fifteen priority to be used for analysis in a variety of ways.

First, the consequences were cross classified by assurance and by type (see Appendix A for decision rules), and the incidences were summed across all the sites in each state. Summary tables for the three states are presented in Exhibit 11. The numbers in these tables represent the frequency of occurrance for each of the assurance-type combinations. Some patterns emerge from a comparison of these tables. There are relatively more resource allocation/utilization consequences in States A and B than in State C, and relatively fewer roles/behaviors consequences in State B than in State A or State C. There are a large number of consequences in State A that relate to the free, appropriate public education assurance, and a small number in State B. All three states have a large number of consequences related to organizational structure. This latter finding is not surprising; organizational structure is the easiest category for a district to change quickly (e.g., job descriptions). Overall there are a relatively small number of consequences related to attitudes and perceptions, which again is not surprising because attitudes accompany most changes but are relatively lower priority as defined by the study.

Second, the incidences of consequence type-assurance combinations were summed across districts of the same type, i.e., urban/suburban/rural. Summary data for these breakdowns are presented in Exhibit 12, The patterns that emerge from a comparison of these tables are far less striking than those discussed above. There are relatively more placement consequences in the suburban districts than in either the urban or rural districts. In the urban districts, the consequences are spread fairly evenly over the assurances (except placement, which has a small number of consequences) and over the four categories of consequences. In the

suburban districts, there are relatively more consequences related to organizational structure/administration; in the rural districts, there are relatively fewer consequences related to attitudes/perceptions. Overall, the urban and rural districts are more like one another in patterns of consequences than either group is like the suburban districts.

Over all sites, the largest number of important consequences are concerned with IEPs and FAPE, the smallest with due process and parental involvement.

The 15 priority consequences for each site were further cross classified with the several explanatory variables identified in the study design implementation model (see Final Study Design, 10 February 1978). These tables are presented in Exhibits 13, 14, and 15. In States A and B, the most common explanatory factor was P.L. 94-142 as the decision impetus, followed by change in the stage of development and LEA organizational structure. In State C, the most common explanatory factor was change in stage of development, followed by P.L. 94-142 as the decision impetus, LEA organizational structure, and LEA role players.

Although all consequences were related directly or indirectly to P.L. 94-142 by definition, subjective ratings of the three to four most important explanatory variables sometimes resulted in the law as a decision impetus to be associated to a lesser degree than some of the other explanatory variables.

EXHIBIT 11: CLASSIFICATION OF PRIORITY CONSEQUENCES BY ASSURANCE AND CATEGORY FOR EACH STATE

Consequence Type / P.L. 94-142 Assurances	CHILDFIND	EVALUATION	PLACEMENT	IEP	LRE	DUE PROCESS/ PARENT INVOLVEMENT	FAPE	ROW SUBTOTALS	ROW TOTALS
STATE A:									
Resource Allocation/Utilization	1	1	1	1	2		7	13	
Organizational Structure/Administration		2	4	1		2	1	10	
Roles/Behaviors	5	2		3	1	1	3	15	
Attitudes/Perceptions			1			2	4	7	
State A Subtotals	6	5	6	5	3	5	15	45	
STATE B:									
Resource Allocation/Utilization	3	3	4	2	3	1		16	
Organizational Structure/Administration	1	2	1	7	3		1	15	
Roles/Behaviors	1	1		1		3		6	
Attitudes/Perceptions	1	1	1	1	1	2	1	8	
State B Subtotals	6	7	6	11	7	6	2	45	
STATE C:									
Resource Allocation/Utilization	1	1		1			3	6	35
Organizational Structure/Administration	3	3	1	1	3		4	15	40
Roles/Behaviors	1	3	1	4	3	1		13	34
Attitudes/Perceptions		3	2	3	2	1		11	26
State C Subtotals	5	10	4	9	8	2	7	45	
Column Totals	17	22	16	25	18	13	24		135

EXHIBIT 12: CLASSIFICATION OF PRIORITY CONSEQUENCES BY ASSURANCE AND CATEGORY FOR EACH TYPE OF DISTRICT

Consequence Type / P.L. 94-142 Assurances	CHILDFIND	EVALUATION	PLACEMENT	IEP	LRE	DUE PROCESS/ PARENT INVOLVEMENT	FAPE	ROW SUBTOTALS	ROW TOTALS
URBAN									
Resource Allocation/Utilization	2	3			1		4	10	
Organizational Structure/Administration	1	1		5	2	1	1	11	
Roles/Behaviors	4	2	1	2		3	2	14	
Attitudes/Perceptions	1	2	1		2	3	1	10	
Urban Subtotals	8	8	2	7	5	7	8	45	
SUBURBAN									
Resource Allocation/Utilization	1		3	1	2	1	1	9	
Organizational Structure/Administration	1	5	5	3	1	1	1	17	
Roles/Behaviors	1	2		3	2			8	
Attitudes/Perceptions		1	3	1	1	1	4	11	
Suburban Subtotals	3	8	11	8	6	3	6	45	
RURAL									
Resource Allocation/Utilization	2	2	2	3	2		4	16	35
Organizational Structure/Administration	2	1	1	1	3		4	12	40
Roles/Behaviors	2	2		3	2	2	1	12	34
Attitudes/Perceptions		1		3		1		5	26
Rural Subtotals	6	6	3	10	7	3	10	45	
Column Totals	17	22	16	25	18	13	24		135

EXHIBIT 13 CONSEQUENCES DISTRIBUTED BY TYPE OF DISTRICT, ASSURANCES, AND EXPLANATORY VARIABLES, AND CLASSIFIED BY CATEGORY: STATE A

EXPLANATORY VARIABLES	URBAN							SUBURBAN							RURAL						
	CHILDFIND	ASSESSMENT	PLACEMENT	I.E.P.	L.R.E.	DUE PROCESS - PARENT INVOL.	F.A.P.E.	CHILDFIND	ASSESSMENT	PLACEMENT	I.E.P.	L.R.E.	DUE PROCESS - PARENT INVOL.	F.A.P.E.	CHILDFIND	ASSESSMENT	PLACEMENT	I.E.P.	L.R.E.	DUE PROCESS - PARENT INVOL.	F.A.P.E.
BACKGROUND:																					
SEA CONTEXTUAL	B														R						
LEA CONTEXTUAL		RB		B			R			O				A	R				RB		RR
EXISTING STAGE OF DEV.		B		B			RBB						O							B	
CHANGE IN STAGE OF DEV.	B	R		O		OAA	RA	B	OO	OA	R			OAA	RB	B	O	B	R		RRB
PROCESS/IMPLEMENTATION:																					
EXTERNAL INFLUENCES						A	R														R
LEA ORGANIZATIONAL STRUCTURE	B	R		B		OA	BA		O	OO				OA	B	B	O	B	RB		RRB
LEA ROLES/PLAYERS	BB					A	B			RO	B		O	A						B	
INTERNAL BUREACRATIC INTERFACE							R	B							B						
TECHNICAL COMPETENCE	B			O						A	B			AA					R		
PROCESS DYNAMICS		B								R			O					B			
DECISION IMPETUS:																					
P.L. 94-142		R		OB		OA	RRRBB	B	OO	ROO	RB			OAA	RB	B	O	B	R		RRRB
STATE LAW/REGULATIONS										O											
LEA INTERNAL PERSONNEL/GPS	B						A							A							
LEA EXTERNAL PERSONNEL/GPS																					
INCENTIVES/SANCTIONS:																					
STAFF																					
POLITICAL																					
LEGAL						A			O					•							

LEGEND: (Consequence Categories)

R = Resource Allocation/Utilization
O = Organizational Structure/Administration
B = Roles/Behaviors
A = Attitudes/Perceptions

EXHIBIT 14 CONSEQUENCES DISTRIBUTED BY TYPE OF DISTRICT, ASSURANCES, AND EXPLANATORY VARIABLES, AND CLASSIFIED BY CATEGORY: STATE B

EXPLANATORY VARIABLES	URBAN							SUBURBAN							RURAL						
	CHILDFIND	ASSESSMENT	PLACEMENT	I.E.P.	L.R.E.	DUE PROCESS - PARENT INVOL.	F.A.P.E.	CHILDFIND	ASSESSMENT	PLACEMENT	I.E.P.	L.R.E.	DUE PROCESS - PARENT INVOL.	F.A.P.E.	CHILDFIND	ASSESSMENT	PLACEMENT	I.E.P.	L.R.E.	DUE PROCESS - PARENT INVOL.	F.A.P.E.
BACKGROUND:																					
SEA CONTEXTUAL		RB		O																	
LEA CONTEXTUAL		RR		O	R	B		O	O	R			A							A	
EXISTING STAGE OF DEV.		R									O										
CHANGE IN STAGE OF DEV.	RRBA	B		OO	OA	B			A	RO	OO	RRRA	R		R	RO	RR	RROBA	OO	B	O
	R																				
PROCESS/IMPLIMENTATION:																					
EXTERNAL INFLUENCES	A	B									O			A		R	R			A	O
LEA ORGANIZATIONAL STRUCTURE	RRB	RR		O	ROA				O	O	OO	RR	R			RO	RR	ROA	OO		O
LEA ROLES/PLAYERS				O	A	BB						RA	A	A				RBA		B	
INTERNAL BUREACRATIC INTERFACE	A										OO							O			
TECHNICAL COMPETENCE				Q								A			R			B			
PROCESS DYNAMICS								O	A											BA	
DECISION IMPETUS:																					
P.L. 94-142	RRBA	RB		OOO	ROA	B		O	OA	RO	OO	RRRA	RA	A	R	RO	R	RR	OO	A	
STATE LAW/REGULATIONS												R									
LEA INTERNAL PERSONNEL/GPS						B					O										
LEA EXTERNAL PERSONNEL/GPS									O	R											
INCENTIVES/SANCTIONS:																					
STAFF																					
POLITICAL														A							
LEGAL																					

LEGEND: (Consequence Categories)

R = Resource Allocation/Utilization
O = Organizational Structure/Administration
B = Roles/Behaviors
A = Attitudes/Perceptions

EXHIBIT 15 CONSEQUENCES DISTRIBUTED BY TYPE OF DISTRICT, ASSURANCES, AND EXPLANATORY VARIABLES, AND CLASSIFIED BY CATEGORY: STATE C

EXPLANATORY VARIABLES	URBAN							SUBURBAN							RURAL						
	CHILDFIND	ASSESSMENT	PLACEMENT	I.E.P.	L.R.E.	DUE PROCESS - PARENT INVOL.	F.A.P.E.	CHILDFIND	ASSESSMENT	PLACEMENT	I.E.P.	L.R.E.	DUE PROCESS - PARENT INVOL.	F.A.P.E.	CHILDFIND	ASSESSMENT	PLACEMENT	I.E.P.	L.R.E.	DUE PROCESS - PARENT INVOL.	F.A.P.E.
BACKGROUND:																					
SEA CONTEXTUAL								R													
LEA CONTEXTUAL							R														O
EXISTING STAGE OF DEV.	B		A	O	OA		O														
CHANGE IN STAGE OF DEV.	O	OAA	B	B		BA	O	R	OOBB	OA	BBA	OBBA		R	OO	RBA		RBAA	OB		ROO
PROCESS/IMPLIMENTATION:																					
EXTERNAL INFLUENCES						BA	R	R	B		B										
LEA ORGANIZATIONAL STRUCTURE	O	OA	B	O	O		O		OOB	OA	B	OA		R	OO	RB			O		O
LEA ROLES/PLAYERS	B	A	AB	B	A						BBA	BB				B		RBAA	B		ROO
INTERNAL BUREACRATIC INTERFACE			A									O				A					O
TECHNICAL COMPETENCE	B	A		O	A				B									B			RO
PROCESS DYNAMICS	B	A		B							A	BBA				A		AA			
DECISION IMPETUS:																					
P.L. 94-142	O	O	B	B	OA	BA	R		OOB	OA	BA			R	OO	R		RBA	OB		ROO
STATE LAW/REGULATIONS																					
LEA INTERNAL PERSONNEL/GPS																					
LEA EXTERNAL PERSONNEL/GPS						B															
INCENTIVES/SANCTIONS:																					
STAFF																					
POLITICAL																					
LEGAL																					

LEGEND (Consequence Categories)

R = Resource Allocation/Utilization
O = Organizational Structure/Administration
B = Roles/Behaviors
A = Attitudes/Perceptions

Appendix 4

Procedures Used for Rating Consequences

This appendix contains guidelines and rules that are used in delineating consequences for the BEH Case Study of the Implementation of P.L. 94-142. It is divided into six sections: consequence definition, consequence format, categorization of consequences by assurances, categorization of consequence by type, identification of explanatory variables, and prioritization of consequences.

Definition

A consequence as used in this case study is a change in any element of a local education agency's special education program as a direct or indirect result of the requirements of P.L. 94-142. In addition, a consequence may be a lack of change in special education programs in a local education agency where the programs vary from the requirements or the spriit of the federal law. Change, as used here, included intended and unintended impacts of the federal law. The intended impacts, although an outcome of the law, are described within process implementation, whereas the unintended impacts are described and labeled as consequences.

"Intent of the law" means not only what the law and regulations state specifically, but also what they imply, i.e., the "spirit" of the law. The general intent of the law is a beneficial impact on the education of both handicapped and non-handicapped students.

Format

Through the case study methodology, consequences were identified within each of the nine sites of the study. To facilitate analysis of the consequences, a general format was developed that included a consequence description, classification by the affected assurance of the law, classification by type of impact (resource, organizational, roles/behaviors, or attitudes/perceptions), identification of the influence of explanatory variables, and a narrative detailing the event or activity. The narrative included how the activity or event has changed, the extent and area of impact, and the coping strategies that the LEA used in dealing with the change. For those that were priority consequences, the descriptions were written according to the following guidelines:

1. A consequence must represent some change over a specified period of time with a description of the amount, range, magnitude, etc., of the change.
2. The change reflected in the consequence must be related to P.L. 94-142, either directly or indirectly.
3. The consequence must involve or impact on at least two people.
4. The consequence should not include causes unless the cause is critical to putting the consequence in the proper context.

Categorization of Consequences by Assurances

Consequences were categorized according to the assurances of P.L. 94-142. Each was classified as involving childfind, assessment, placement, individualized educational programs, least restrictive environment, due process/parental involvement, or free, appropriate public education. The emphasis in this classification was on the effect, not the cause. That is, increased activities in the childfind area can result in increased burdens in assessment that are overwhelming because of inadequate resources. In this case, the consequence would be classified within assessment even though the childfind activities in effect caused it. Because of the sequential nature of the assurances, such a classification indicates where the problems of implementation are occurring rather than the interaction of the provisions of the law and the cascading effect they have on each other.

The classification of a consequence under FAPE occurs in one of two ways: either the activity or event is general in nature, affecting most assurances with relatively equal impact, or it is the final assurance that is impacted in the sequential ordering. It should be cautioned that too broad an interpretation should not be taken. Obviously, most activities and events that are a result of this law affect the free, appropriate public education of handicapped students in some way.

Categorization of Consequences by Type

Consequences were related to P.L. 94-142 were categorized into one of four areas: Attitudes/Perceptions, Role/Behaviors, Organizational Structure/Administration, and Resource Allocation/Utilization. Only those consequences

that were unintentional were partitioned in this way. Those that were intentional are contained in discussions of the process of implementation. The decision rules for categorization are displayed in the flow chart in Exhibit 16. Most of the consequences of the law impact at least in part in all four areas. For example, hiring new special education staff has clear resource implications, organizational implications, and role/behavior implications, and it may have attitudinal implications. The decision rules displayed in the exhibit partition the consequences into mutually exclusive and exhaustive categories. It is not meant to imply that the consequences are that discrete and it is acknowledged that in some cases this may be somewhat artificial, but for the purposes of synthesis and analysis the rules were developed to classify the consequences in this dimension from a logical impact point of view. If a consequence is not the result of P.L. 94-142, either directly or indirectly, then it is not discussed within this context or classified. Further, those unintended events and activities are the only ones to be dealt with here.

Before we classified a consequence as attitudinal, we asked a number of questions:

- Is there a change in attitude demonstrated?
- Is the change observable?
- Is the attitude out of proportion to the event or activity that precipitated it?
- Is the event or activity crucial to the implementation of the law?

Under such constraints, consequences that are classified as an attitudinal problem are of a more severe nature to avoid having an attitudinal counterpart of nearly every consequence. Similarly, the decision rules for classifying consequences into the other three types attempt to identify the severe nature of the problems.

Identification of Explanatory Variables

The variables that were relatively more important in explaining why a particular consequence occurred were identified and referred to as explanatory variables. They are based primarily on the TURNKEY Conceptual Model for the Implementation of P.L. 94-142. Based on that classification, the three or four

major reasons for a consequence were identified within the four areas of background, process/implementation, decision impetus, and incentives/sanctions. Below the characteristics are outlined for each variable (for a further explanation see the TURNKEY proposal in response to RFP 77-97).

Background

1. SEA Contextual
   - informal linkages
   - political climate
   - demographic factors
   - special education performance record
   - priorities
2. LEA Contextual
   - leadership
   - priorities/commitments
   - demographic factors
   - relationships: SEA/State
   - tradition
   - wealth
   - informal linkages
3. Existing Stage of Development
   - orientation, preparation
   - operational
   - operations refined, flexible
4. Change in the State of Development
   - orientation, preparation
   - operational
   - operations refined, flexible

Process/Implementation

1. External Influences
   - external organizations
   - local governance
2. LEA Organization Structure
   - authority
   - control
   - sanctions/incentives
3. LEA Roles/Players
   - needs
   - preferences
   - group affiliations
   - attitudes
   - professionalism
4. Internal Brueaucratic Interface

5. Technical Competence
   - administrators
   - regular teachers
   - special education teachers
   - support services
   - inservice training
6. Process Dynamics
   - communications
   - coordination
   - cooperation
   - interactions

Decision Impetus

1. P.L. 94-142
2. State Law/Regulations
3. LEA Internal Personnel/Groups
4. LEA External Personnel/Groups

Incentives/Sanctions

1. Staff
2. Political
3. Legal

Priorit zation of Consequences

Fifteen priority consequences were selected for each site form all those identified. All identified consequences for a site were rated on three criteria: impact on students and parents, impact on LEA staff, and magnitude of the implications. The additive result was rank ordered and forwarded the priority list of consequences.

For the first two criteria, impact is defined to mean the affected percentage of the total time available for all students, parents, or staff during the school year. The rating of the impact is on a five-point scale, from a low score of one to a high score of five, as shown in Exhibit 17. Judgments on the quality of instruction received or given were deliberately avoided in these two ratings. If a change occurred that affected 25% of one student's instructional day for the entire year, the implications of change for that student are substantial. In comparison, a change of 5% in the instructional day of all students in a large district by comparison is far more important. Obviously from an humanitarian point of view, the first example is extremely important, but is was discounted here because the purpose was to identify those things that have the greatest impact for the greatest number. With the same type of logic, it is

decided that all students, parents, and staff should be considered, not just those connected with special education. Although the focus of P.L. 94-142 is primarily for special education students, it is also argued that, if trade-offs are being made that hurt the instruction for regular education students, then this was not intended by the law and should be examined. Some adjustment in the ratings of impact were made to accommodate increased sensitivity for the effects in the area of special education. A lesser percentage of students or time is required for special education impact to be rated higher. The percentages of both time and the number affected are estimates based on the observations of the state coordinators.

The last criterion, magnitude of the implications, is also a five-point rating scale, with five indicating the largest magnitude and one the least. This rating is more subjective than the other two because it is based on professional judgments; that is, a concensus of the assistant project director for analysis and the state coordinator. A high rating would indicate a consequence that, in comparison to the other consequences, has more far-reaching implications. Consequences receiving a high rating include those that in turn result in a number of other, unintended effects; those that reflect activities that are illegal or out of compliance; those that are more general, and are the key to other consequences; or those that have very beneficial or detrimental effects. Most of the consequences have at least some of these characteristics, so it was a matter of developing relative rankings and identifying those of higher magnitude.

EXHIBIT 16: FLOW CHART FOR CATEGORIZING CONSEQUENCES BY TYPE

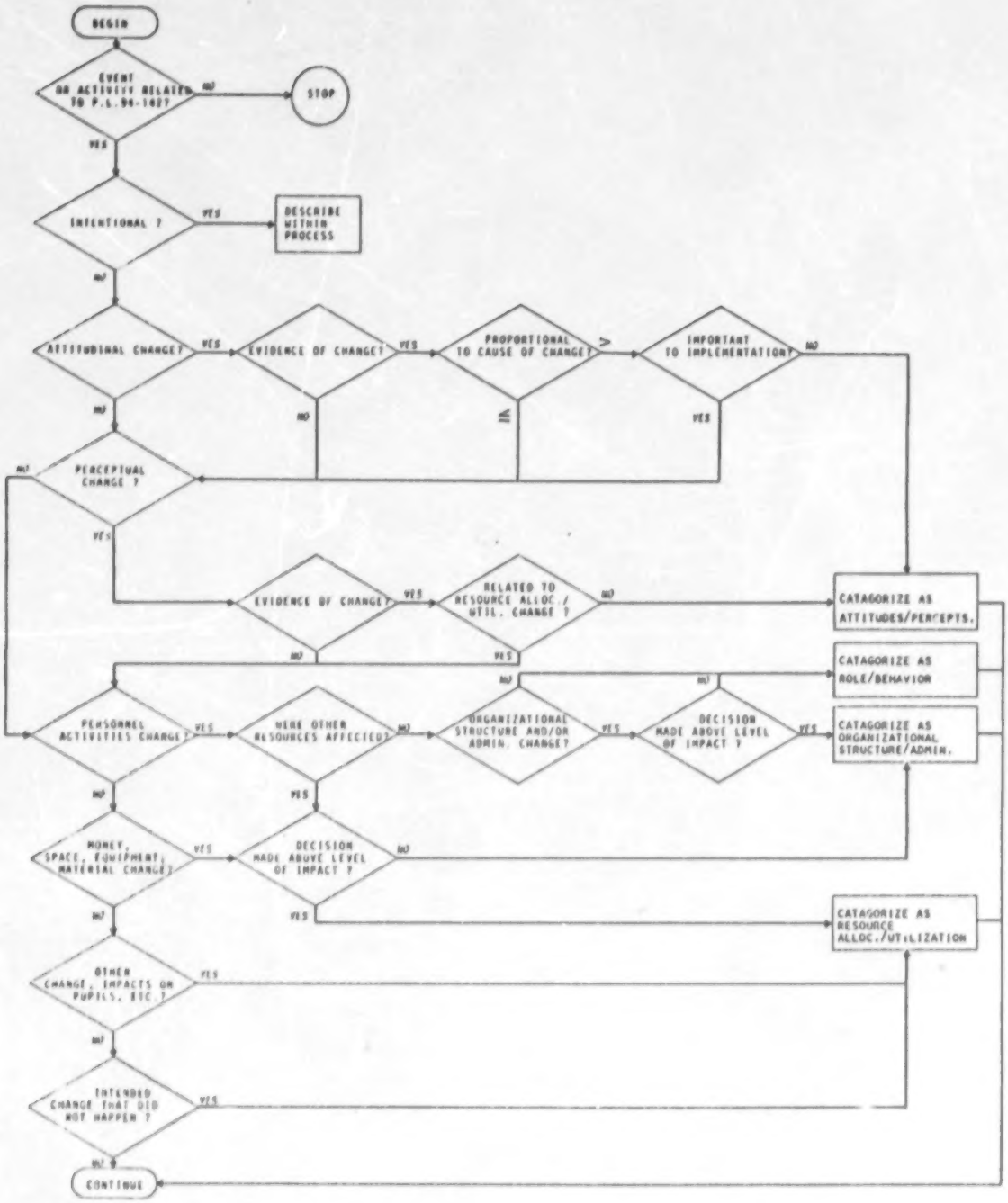


EXHIBIT 17 : IMPACT RATINGS